

09/889647

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

ATTORNEY DOCKET NUMBER <b>IN-5505</b>	U.S. APPLICATION NO. (IF KNOWN SEE 37 RR 15)	
INTERNATIONAL APPLICATION NO.	INTERNATIONAL FILING DATE	PRIORITY DATE CLAIMED
<b>PCT/EP00/00534</b>	<b>25 January 2000 (25.01.00)</b>	<b>28 January 1999 (28.01.99)</b>

**TITLE OF INVENTION: COATING AGENT CONSISTING OF AT LEAST FOUR COMPONENTS, METHOD FOR PRODUCING SAME AND USE THEREOF**

**APPLICATION(S) FOR DO/EO/US: Bernd MAYER and Heinz-Peter RINK**

**Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:**

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371 (b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ have been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☒ A translation of the International Application into English (35 U.S.C. 371(C)(2)).
7. ☒ Amendment to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annex to the International Preliminary Examination Report under PCT Article 36

**Items 11. to 16. below concern other document(s) or information included:**

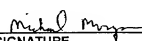
11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included
13. ☒ A **FIRST** preliminary amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A Change of power of attorney and/or address letter.
16. ☒ Other items or information:

**A copy of the cover sheet from the PCT Published Application**  
**A copy of the Priority Document**

I hereby certify that the attached correspondence is being deposited with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" Mailing Label No. **EF325208512US** addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231 on July 19, 2001.

  
Marjorie Ellis

1018 REC'D PSTPTO 19 JUL 2001

U.S. APPLICATION NO. <b>097/889647</b> (if known) 37 CFR 1.50		INTERNATIONAL APPLICATION NO. <b>PCT/EP00/00534</b>		ATTORNEY'S DOCKET NUMBER <b>IN-5505</b>	
17. <input checked="" type="checkbox"/> The following fees are submitted				<b>CALCULATIONS</b>   PTO USE ONLY	
<b>Basic National Fee (37 CFR 1.492(a)(1)-(5)):</b> Neither international preliminary examination fee (37 CFR 1.482) Nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO..... <b>\$970.00</b>  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO..... <b>\$860.00</b>  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.44(a)(2)) paid to USPTO..... <b>\$690.00</b>  International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4)..... <b>\$670.00</b>  International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... <b>\$ 96.00</b>				<b>ENTER APPROPRIATE BASIC FEE AMOUNT</b> = <b>\$860.00</b>	
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				<b>\$130.00</b>	
Claims	Number Filed	Number Extra	Rate		
Total Claims	23 - 20 =	03	X \$18.00	<b>\$ 54.00</b>	
Independent claims	02 - 03 =	0	X \$80.00	<b>\$</b>	
Multiple dependent claims(s) (if applicable)				+ \$270.00	
				<b>\$</b>	
<b>TOTAL OF ABOVE CALCULATION</b>				<b>= \$1,044.00</b>	
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must also be filed. (Note 37 CFR 1.9, 1.27, 1.28).				<b>\$</b>	
<b>SUBTOTAL</b>				<b>= \$</b>	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				<b>+</b>	
<b>TOTAL NATIONAL FEE</b>				<b>= \$1,044.00</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00 per property</b>				<b>+</b>	
<b>TOTAL FEES ENCLOSED</b>				<b>= \$1,044.00</b>	
				<b>Amount to be refunded</b>	
				<b>\$</b>	
				<b>Charged</b>	
				<b>\$1,044.00</b>	
<p>a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed.</p> <p>b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>23-3425</u> in the amount of \$1,044.00 to cover the above fees A triplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>23-3425</u>. A triplicate copy of this sheet is enclosed.</p> <p><b>NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</b></p>					
<b>SEND ALL CORRESPONDENCE TO:</b> <b>BASF CORPORATION</b> <b>Patent Department</b> <b>26701 Telegraph Road</b> <b>Southfield, Michigan 48034-2442</b> <b>(248) 948-2355</b> <b>Customer No. 26922</b>			<div style="text-align: center;">   <b>SIGNATURE</b> </div> <hr/> <div style="text-align: center;"> <b>Michael F. Morgan</b>  <b>Name</b>  <b>42,906</b>  <b>REGISTRATION NUMBER</b> </div>		

09/889647

JUL 19 2001 PCT/PTO

PATENT  
(Practitioner's Docket No. IN-5505)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Bernd MAYER and Heinz-Peter RINK

Serial No.: This application is a National  
Phase of Patent Application  
PCT/EP00/00534 filed 25 January 2000.

Filed: July 18, 2001

For: COATING AGENT COMPRISING AT  
LEAST FOUR COMPONENTS, METHOD  
FOR PRODUCING SAME, AND USE  
THEREOF

Group Art Unit: Not Assigned

Examiner: Not Assigned

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is being deposited with the United States Postal Service  
in an envelope as "Express Mail Post Office to  
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addressed to the Assistant Commissioner for Patents,  
Washington, D.C. 20231 on July 19, 2001.

  
Marjorie Ellis

**PRELIMINARY AMENDMENT UNDER 37 CFR § 1.115**

Commissioner for Patents

Washington, D.C. 20231

Dear Sir:

This preliminary amendment is submitted with the application for entry into the U.S. National Phase under Chapter II. This application is based on PCT/EP00/00534 filed on 25 January 2000.

In connection with the filing of this National Phase application, please make the following preliminary amendments.

After entry of the Preliminary Amendment, claims 1-23 will be pending.

**IN THE TITLE**

Please substitute the title at page 1, line 1 with ---COATING AGENT COMPRISING AT LEAST FOUR COMPONENTS, METHOD FOR PRODUCING SAME, AND USE THEREOF---.

## IN THE CLAIMS:

Please substitute claims 1-13 as follows. As required by 37 C.F.R. §1.121, marked copies of the claims showing amendments for claims 1-13 are listed below.

1. (Amended) A coating composition comprising at least four components,
  - (I) a component comprising at least one oligomeric or polymeric resin containing functional groups that react with isocyanate groups as binder,
  - (II) a component comprising at least one polyisocyanate as crosslinking agent,
  - (III) a component that comprises water and is substantially free from acrylate copolymers dispersed or dissolved therein, and
  - (IV) a finely divided solid component that comprises at least one water-soluble or -dispersible finely divided solid acrylate copolymer.
2. (Amended) A process for producing a coating composition comprising at least four components by mixing of the components, application of the resulting coating composition to the surface that is to be coated, and curing of the resulting wet film, which comprises
  - 1) mixing at least one component (I) comprising at least one oligomeric or polymeric resin containing functional groups that react with isocyanate groups, with at least one component (II) comprising at least one polyisocyanate, to give a mixture (I/II);
  - 2) mixing at least one component (III) that comprises water and is substantially free from acrylate copolymers dissolved or dispersed therein with at least one finely divided solid component (IV) that comprises at least one water-soluble or -dispersible, finely divided solid acrylate copolymer, to give the mixture (III/IV); and
  - 3) one of
    - (a) at least one of dispersing and dissolving the mixture (I/II) in the mixture (III/IV);
    - (b) at least one of dispersing and dissolving the mixture (III/IV) in the mixture (I/II),to give the coating composition (I/II/III/IV).

3. (Amended) The coating composition of claim 1, wherein the finely divided solid component (IV) is preparable by at least one of
- i) spray-drying solutions, emulsions, or dispersions of the acrylate copolymers;
  - ii) freeze-drying of solutions, emulsions, or dispersions of the acrylate copolymers;
  - iii) precipitation of acrylate copolymers from their solution, dispersion or emulsion;
  - iv) emulsion polymerization of the acrylate copolymers;
  - v) precipitation polymerization of the acrylate copolymers; and
  - vi) grinding of the acrylate copolymers.
4. (Amended) The coating composition of claim 1, wherein the functional groups that react with isocyanate groups comprise hydroxyl groups.
5. (Amended) The coating composition of claim 1, wherein component (III) further comprises at least one binder.
6. (Amended) The coating composition of claim 1, wherein at least one of i) component (I) comprises at least one water-soluble or -dispersible binder, and ii) component (III) comprises at least one water-dissolved or water-dispersed binder.
7. (Amended) The coating composition of claim 6, wherein the binders comprise at least one of
- (i) functional groups that can be converted into cations by at least one of neutralizing agents and quaternizing agents,
  - (ii) functional groups that are cationic groups,
  - (iii) functional groups that can be converted into anions by neutralizing agents
  - (iv) functional groups that are anionic groups, and
  - (v) nonionic hydrophilic groups.

8. (Amended) The coating composition of claim 7, wherein the binders contain at least one of carboxylic acid groups and carboxylate groups.
9. (Amended) The coating composition of claim 8, wherein component (I) comprises at least one of the following as binders
- (A1) at least one acrylate copolymer that is dispersible or soluble in one or more organic, optionally water-dilutable solvents, contains hydroxyl groups and at least one of carboxylic acid groups and carboxylate groups, and has a number average molecular weight Mn of between 1000 and 30,000 daltons, an OH number of from 40 to 200 mg KOH/g, and an acid number of from 5 to 150 mg KOH/g,
  - (A2) at least one polyester resin that is dispersible or soluble in one or more organic, optionally water-dilutable solvents, contains hydroxyl groups at least one of carboxylic acid groups and carboxylate groups, and has a number average molecular weight Mn of between 1000 and 30,000 daltons, an OH number of from 30 to 250 mg KOH/g, and an acid number of from 5 to 150 mg KOH/g, and
  - (A3) at least one polyurethane resin that is dispersible or soluble in one or more organic, optionally water-dilutable solvents, contains hydroxyl groups and at least one of carboxylic acid groups and carboxylate groups, and has a number average molecular weight Mn of between 1000 and 30,000 daltons, an OH number of from 20 to 200 mg KOH/g, and an acid number of from 5 to 150 mg KOH/g; and
- component (III) comprises as binders at least one of the polyester resins (A2) and the polyurethane resins (A3), and
- component (IV) comprises as binder the acrylate copolymer (A1).
10. (Amended) The coating composition of claim 1, wherein some of the binders in component (III) are powder slurry particles.
11. (Amended) The coating composition of claim 1, wherein the coating composition is applied as a coating in at least one of an automotive OEM finish, a refinish, a plastic coating, a topcoat, and a primer-surfacer.

12. (Amended) A coating prepared from the coating composition of claim 1.
13. (Amended) An article comprising a coating, wherein the coating is prepared from the coating composition of claim 1.

Please insert the following new claims:

14. (New) The process of claim 2, wherein the finely divided solid component (IV) is preparable by at least one of
  - i) spray-drying solutions, emulsions, or dispersions of the acrylate copolymers;
  - ii) freeze-drying of solutions, emulsions, or dispersions of the acrylate copolymers;
  - iii) precipitation of acrylate copolymers from their solution, dispersion or emulsion;
  - iv) emulsion polymerization of the acrylate copolymers;
  - v) precipitation polymerization of the acrylate copolymers; and
  - vi) grinding of the acrylate copolymers.
15. (New) The process of claim 2, wherein the functional groups that react with isocyanate groups comprise hydroxyl groups.
16. (New) The process of claim 2, wherein component (iii) further comprises at least one binder.
17. (New) The process of claim 2, wherein at least one of i) component (I) comprises at least one water-soluble or -dispersible binder, and ii) component (III) comprises at least one water-dissolved or water-dispersed binder.
18. (New) The process of claim 17, wherein the binders comprise at least one of
  - (i) functional groups that can be converted into cations by at least one of neutralizing agents and quaternizing agents,
  - (ii) functional groups that are cationic groups,
  - (iii) functional groups that can be converted into anions by neutralizing agents
  - (iv) functional groups that are anionic groups, and
  - (v) nonionic hydrophilic groups.
19. (New) The process of claim 18, wherein the binders contain at least one of carboxylic acid groups and carboxylate groups.



20. (New) The process of claim 19, wherein component (I) comprises at least one of the following as binders

(A1) at least one acrylate copolymer that is dispersible or soluble in one or more organic, optionally water-dilutable solvents, contains hydroxyl groups and at least one of carboxylic acid groups and carboxylate groups, and has a number average molecular weight  $M_n$  of between 1000 and 30,000 daltons, an OH number of from 40 to 200 mg KOH/g, and an acid number of from 5 to 150 mg KOH/g,

(A2) at least one polyester resin that is dispersible or soluble in one or more organic, optionally water-dilutable solvents, contains hydroxyl groups at least one of carboxylic acid groups and carboxylate groups, and has a number average molecular weight  $M_n$  of between 1000 and 30,000 daltons, an OH number of from 30 to 250 mg KOH/g, and an acid number of from 5 to 150 mg KOH/g, and

(A3) at least one polyurethane resin that is dispersible or soluble in one or more organic, optionally water-dilutable solvents, contains hydroxyl groups and at least one of carboxylic acid groups and carboxylate groups, and has a number average molecular weight  $M_n$  of between 1000 and 30,000 daltons, an OH number of from 20 to 200 mg KOH/g, and an acid number of from 5 to 150 mg KOH/g; and

component (III) comprises as binders at least one of the polyester resins (A2) and the polyurethane resins (A3), and

component (IV) comprises as binder the acrylate copolymer (A1).

21. (New) The process of claim 2, wherein some of the binders in component (III) are powder slurry particles.

22. (New) The process of claim 2 further comprising forming a coating from the coating composition.

23. (New) The process of claim 2 further comprising forming a coating on an article such that the coating is at least one of an automotive OEM finish, an automotive refinishing, a plastic coating, a topcoat, and a primer-surfacer coat.

Version with Markings to Show Changes Made

IN THE TITLE

Please substitute the title at page 1, line 1 with ---COATING AGENT [CONSISTING OF] COMPRISING AT LEAST FOUR COMPONENTS, METHOD FOR PRODUCING SAME, AND USE THEREOF---.

IN THE CLAIMS

1. (Amended) A coating composition [consisting of] comprising at least four components, [comprising]
  - (I) a component comprising at least one oligomeric or polymeric resin containing functional groups [which] that react with isocyanate groups[,] as binder [(A)],
  - (II) a component comprising at least one polyisocyanate as crosslinking agent [(F)],
  - (III) a component [which] that comprises water and is substantially free from acrylate copolymers [(A)] dispersed or dissolved therein, and
  - (IV) a finely divided solid component [which] that comprises at least one water-soluble or -dispersible finely divided solid acrylate copolymer [(A)].
2. (Amended) A process for producing [a coating from] a coating composition [consisting of] comprising at least four components by mixing of the components, application of the resulting coating composition to the surface that is to be coated, and curing of the resulting wet film, which comprises
  - 1) mixing at least one component (I) comprising at least one oligomeric or polymeric resin containing functional groups [which] that react with isocyanate groups [as binder (A)], with at least one component (II) comprising at least one polyisocyanate [as crosslinking agent (F)], to give [the] a mixture (I/II);
  - 2) mixing at least one component (III) [which] that comprises water and is substantially free from acrylate copolymers [(A)] dissolved or dispersed therein with at least one finely divided solid component (IV) [which] that comprises at least one water-soluble or -dispersible, finely divided solid

acrylate copolymer [(A)], to give the mixture (III/IV); [and then either]  
and

3) one of

- (a) at least one of dispersing [and/or] and dissolving the mixture (I/II) in the mixture (III/IV); [or]
- (b) [4)] at least one of dispersing [and/or] and dissolving the mixture (III/IV) in the mixture (I/II),  
to give [5)] the coating composition (I/II/III/IV).

3. (Amended) The coating composition [as claimed in] of claim 1 [or the process as claimed in claim 2], wherein the finely divided solid component (IV) is preparable by at least one of

- i) spray-drying [or freeze-drying of] solutions, emulsions, or dispersions of the acrylate copolymers; [(A)]
- ii) freeze-drying of solutions, emulsions, or dispersions of the acrylate copolymers; [or]
- iii) precipitation of acrylate copolymers [(A)] from their solution, dispersion or emulsion[.];
- iv) [by] emulsion polymerization of the acrylate copolymers; [or]
- v) precipitation polymerization of the acrylate copolymers; [(A) or] and
- vi) [by] grinding of the acrylate copolymers [(A)].

4. (Amended) The coating composition [as claimed in] of claim 1 [or 3 or the process as claimed in claim 2 or 3], wherein the functional groups [which] that react with isocyanate groups comprise hydroxyl groups.

5. (Amended) The coating composition [as claimed in any] of claim 1 [claims 1, 3 and 4 or the process as claimed in any of claims 2 to 4], wherein component (III) further comprises at least one binder [(A)].

6. (Amended) The coating composition [as claimed in any] of claim 1 [claims 1 and 3 to 5 or the process as claimed in any of claims 2 to 5], wherein at least one of i) component (I) comprises at least one water-soluble or -dispersible

binder, and [(A) and/or ii) component (III) comprises at least one water-dissolved or water-dispersed binder [(A)].

7. (Amended) The coating composition [or the process as claimed in] of claim 6, wherein the binders [(A)] comprise [alternatively] at least one of
- (i) functional groups [which] that can be converted into cations by at least one of neutralizing agents [and/or] and quaternizing agents, [and/or]
  - (ii) functional groups that are cationic groups, [especially sulfonium groups],  
[or]
  - (iii) functional groups [which] that can be converted into anions by neutralizing agents, [and/or]
  - (iv) functional groups that are anionic groups, [especially carboxylic acid and/or carboxylate groups,] and  
[and/or]
  - (v) nonionic hydrophilic groups[, especially poly(alkylene ether) groups].
8. (Amended) The coating composition [or the process as claimed in] of claim 7, wherein the binders [(A)] contain at least one of carboxylic acid groups [and/or] and carboxylate groups [(ii)].
9. (Amended) The coating composition [or the process as claimed in] of claim 8, wherein component (I) comprises at least one of the following as binders [(A)]
- (A1) at least one acrylate copolymer [(A1) which] that is dispersible or soluble in one or more organic, optionally water-dilutable solvents, contains hydroxyl groups and at least one of carboxylic acid groups [and/or] and carboxylate groups, and has a number average molecular weight Mn of between 1000 and 30,000 daltons, an OH number of from 40 to 200 mg KOH/g, and an acid number of from 5 to 150 mg KOH/g, [and/or]
  - (A2) at least one polyester resin [(A2) which] that is dispersible or soluble in one or more organic, optionally water-dilutable solvents, contains hydroxyl groups at least one of carboxylic acid groups [and/or] and

carboxylate groups, and has a number average molecular weight Mn of between 1000 and 30,000 daltons, an OH number of from 30 to 250 mg KOH/g, and an acid number of from 5 to 150 mg KOH/g, [and/or] and

- (A3) at least one polyurethane resin [(A3) which] that is dispersible or soluble in one or more organic, optionally water-dilutable solvents, contains hydroxyl groups and at least one of carboxylic acid groups [and/or] and carboxylate groups, and has a number average molecular weight Mn of between 1000 and 30,000 daltons, an OH number of from 20 to 200 mg KOH/g, and an acid number of from 5 to 150 mg KOH/g; and

component (III) comprises as binders [(A)] at least one of the polyester resins (A2) [and/or] and the polyurethane resins (A3), and component (IV) comprises as binder [(A)] the acrylate copolymer (A1).

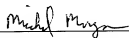
10. (Amended) The coating composition [as claimed in any of claims 1 and 3 to 9 or the process as claimed in any of claims 2 to 10] of claim 1, wherein some of the binders [(A)] in component (III) are [in] powder slurry particles.
11. (Amended) The [use of the] coating composition [as claimed in any of claims 1 and 3 to 10 or of the process as claimed in any of claims 2 to 10 in] of claim 1, wherein the coating composition is applied as a coating in at least one of an automotive OEM [finishing] finish, a refinish, [especially automotive refinish, coating of plastics] a plastic coating, [as] a topcoat, [materials and/or] and a primer-surfacer[s].
12. (Amended) A coating prepared from the coating composition of claim 1 [An automotive OEM finish or automotive refinish, coating on plastic, topcoat, or primer-surfacer coat, producible from a coating composition as claimed in any of claims 1 and 3 to 11 and/or with the aid of the process as claimed in any of claims 2 to 11].
13. (Amended) An article [, especially automobile, comprising an automotive OEM finish or automotive refinish, coating on plastic, topcoat and/or primer-

surfacers coat as claimed in claim 12] comprising a coating, wherein the coating is prepared from the coating composition of claim 1.

## REMARKS

Upon entry of the present amendment claims 1-23 are pending in the application. Claims 1-13 have been amended in accordance with the requirements of U.S. patent practice. New claims 14-23 add no new matter, as these claims contain subject matter deleted from the amended claims. Applicants respectfully request entry of the preliminary amendment.

Respectfully Submitted,



Michael F. Morgan

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Date: July 18, 2001

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PAT 99818 PCT  
BASF Coatings AG

**Coating composition consisting of at least four components, its preparation and use**

The present invention relates to a coating composition  
5 consisting of at least four components, comprising a  
component (I) comprising at least one oligomeric or  
polymeric resin containing functional groups which  
react with isocyanate groups, as binder (A), a  
component (II) comprising at least one polyisocyanate  
10 as crosslinking agent (F), and a component (III) which  
comprises water. The present invention additionally  
relates to a process for preparing these coating  
compositions and also to the use of the coating  
compositions in automotive OEM finishing, refinish, and  
15 for the coating of plastics, and also as topcoat  
materials or primer-surfacers.

Coating compositions of the abovementioned type in  
which component (III) contains no binders (A) are known  
20 from the patent US-A-5,466,745. One of their uses is to  
produce clearcoats. The surfaces of these clearcoats,  
however, are still unable to satisfy every quality  
requirement, since they have pinholes and blisters.

25 Coating compositions of the abovementioned type in  
which component (III) comprises dissolved or dispersed  
binders (A) are known from the German patents  
DE-A-195 42 626 and DE-A-44 21 823. These known coating



compositions already have comparatively few surface problems, such as popping marks or structuring, and as regards gloss, relaxation, spraying reliability, fullness, weathering stability, and other important  
5 technological properties they possess a good profile of properties.

The increasingly more stringent requirements of the market, however, are making it necessary to improve  
10 these known coating compositions still further in terms of their homogeneity, stability, handling, and popping limits. Moreover, the solvent content is to be lowered further than has been possible to date. Furthermore, the resulting coatings should have an even higher  
15 gasoline resistance and an even lower gray haze.

These known coating compositions or their component (III) comprise binders in dispersion or solution in water, which in the dissolved or dispersed state,  
20 especially on prolonged storage, are infested and destroyed by microorganisms, thereby rendering the component (III) in question of the coating compositions unusable and requiring disposal, which is a grave disadvantage both technically and economically.

25

If the component (III) affected is used anyway, it produces coatings, especially clearcoats, which are no longer in accordance with user requirements, especially in the automobile industry.

It is an object of the present invention to find a novel coating composition which no longer has the disadvantages depicted above but which instead is infested to a considerably reduced extent, if at all, by microorganisms and therefore has a relatively high storage stability of the component in question, with the advantageous properties of the known coating compositions being at least retained if not indeed improved further.

The invention accordingly provides the novel coating composition consisting of at least four components, comprising

(I) a component comprising at least one oligomeric or polymeric resin containing functional groups which react with isocyanate groups, as binder (A),

(II) a component comprising at least one polyisocyanate as crosslinking agent (F),

(III) a component which comprises water and is substantially free from acrylate copolymers (A) dispersed or dissolved therein, and

(IV) a finely divided solid component which comprises at least one water-soluble or

-dispersible finely divided solid acrylate copolymer (A).

In the text below, the novel coating composition  
5 consisting of at least four components is referred to  
for the sake of brevity as the "coating composition of  
the invention".

The present invention further provides a process for  
10 preparing the coating compositions of the invention,  
and also provides for their use in automotive OEM  
finishing, refinish, and the coating of plastics, as  
topcoat materials or primer-surfacers.

15 The coating compositions of the invention are notable,  
surprisingly, for a profile of properties which is  
improved over the prior art in relation in particular  
to the gloss, fullness, low popping tendency, spraying  
reliability, and leveling, and also in respect of the  
20 weathering stability.

The particular advantage of the coating composition of  
the invention is firstly that component (III) is  
substantially free from dissolved or dispersed acrylate  
25 copolymers (A), so that even on prolonged storage it is  
no longer infested by microorganisms, or only to an  
extent which does not perceptibly impair its  
performance properties. Secondly, the particular  
advantage of the coating compositions of the invention

is that component (IV) may be stored for a particularly long time without detriment to its performance properties. Furthermore, as a finely divided solid, it can be added to the coating composition, especially to component (III), in a particularly simple and easy fashion.

It is surprising, furthermore, that the coating compositions of the invention comprising said at least four components may be prepared simply by mixing without the need for complicated mixing and/or dispersing apparatus as described, for example, in the German patent DE-A-195 10 651. The coating compositions of the invention are therefore suitable in particular for the field of automotive refinish, since they can be prepared by the painter by simple mixing of the components directly prior to their application and can be cured at low temperatures.

A further advantage is that the coating compositions of the invention prepared from said at least four components contain only a small fraction of volatile organic solvents, despite the fact that the coating compositions are prepared using crosslinkers and binders dispersed and/or dissolved in organic media.

Moreover, the coating compositions of the invention ensure a high level of variability, since it is possible to use not only the crosslinking agents,

pigments and additives that are recommended for aqueous coating compositions but also those used in conventional systems.

5 Finally, a feature of the inventive components of the coating compositions of the invention is a very good storage stability, which corresponds to that of conventional coating compositions.

10 The constituent of the coating composition of the invention that is essential to the invention is its finely divided solid component (IV), which comprises at least one water-soluble or -dispersible finely divided solid acrylate copolymer (A).

15 The finely divided solid acrylate copolymers (A) for use in accordance with the invention are oligomeric or polymeric resins containing functional groups which react with isocyanate groups.

20 Examples of suitable functional groups for use in accordance with the invention that react with isocyanate groups are epoxy, amino, thio and/or hydroxyl groups, of which the hydroxyl groups are  
25 particularly advantageous and are therefore particularly preferred in accordance with the invention.

Accordingly, the finely divided solid acrylate copolymers (A) which are preferred in accordance with the invention comprise hydroxyl-containing oligomeric or polymeric resins.

5

Besides the hydroxyl groups, the finely divided solid acrylate copolymers (A) may contain other functional groups as well, such as acryloyl, amide, imide, carbonate or epoxide groups.

10

In accordance with the invention, the finely divided solid acrylate copolymers (A), viewed per se, are dispersible or soluble in water.

15

Examples of suitable water-soluble or water-dispersible finely divided solid acrylate copolymers (A) contain alternatively

20

(i) functional groups which can be converted into cations by neutralizing agents and/or quaternizing agents, and/or cationic groups,

or

25

(ii) functional groups which can be converted into anions by neutralizing agents, and/or anionic groups,

and/or

(iii) nonionic hydrophilic groups.

Examples of suitable functional groups (i) for use in accordance with the invention that can be converted into cations by neutralizing agents and/or quaternizing agents are primary, secondary or tertiary amino groups, secondary sulfide groups or tertiary phosphine groups, especially tertiary amino groups or secondary sulfide groups.

Examples of suitable cationic groups (i) for use in accordance with the invention are primary, secondary, tertiary or quaternary ammonium groups, tertiary sulfonium groups or quaternary phosphonium groups, preferably quaternary ammonium groups or tertiary sulfonium groups, but especially tertiary sulfonium groups.

Examples of suitable functional groups (i) for use in accordance with the invention that may be converted into anions by neutralizing agents are carboxylic acid, sulfonic acid or phosphonic acid groups, especially carboxylic acid groups.

Examples of suitable anionic groups (i) for use in accordance with the invention are carboxylate, sulfonate or phosphonate groups, especially carboxylate groups.

Examples of suitable nonionic hydrophilic groups (i) for use in accordance with the invention are polyether groups, especially poly(alkylene ether) groups.

- 5 Regarding the preparability, handling and particularly advantageous properties of the coating compositions of the invention prepared using them, the finely divided solid acrylate copolymers (A) which contain the anion-forming groups and/or anions (ii), especially the  
10 carboxylic acid and/or the carboxylate groups, afford very particular advantages, and so are used with very particular preference in accordance with the invention.

- Examples of very particularly preferred finely divided  
15 solid acrylate copolymers (A) of the last-mentioned type, for use in accordance with the invention, are

- (A1) the acrylate copolymers (A1) which are described below, contain hydroxyl groups and carboxylic acid  
20 and/or carboxylate groups, and have a number average molecular weight  $M_n$  of between 1000 and 30,000 daltons, an OH number of from 40 to 200 mg KOH/g, and an acid number of from 5 to 150 mg KOH/g.

25

Owing to their comparatively simple preparation, their easy handling, their advantageous profile of properties, and the particular advantages of the coating compositions of the invention produced using



them, very particular preference is given to using the finely divided solid acrylate copolymers (A1). Moreover it is found in many cases that the problems of infestation by microorganisms can be solved substantially and in many cases even completely simply by using the acrylate copolymers (A1) in finely divided solid form.

Suitable finely divided solid acrylate copolymers (A1) include all acrylate copolymers having the stated OH numbers, acid numbers, molecular weights, and viscosities.

In particular, use is made of finely divided solid acrylate copolymers (A1) obtainable in the presence of at least one polymerization initiator by bulk polymerization, solution polymerization in an organic solvent or solvent mixture, by emulsion polymerization or precipitation polymerization in water of

a1) a (meth)acrylic ester which is substantially free from acid groups and is different from but copolymerizable with (a2), (a3), (a4), (a5), and (a6), or a mixture of such monomers (a1),

a2) an ethylenically unsaturated monomer which carries at least one hydroxyl group per molecule and is substantially free from acid groups, and which is copolymerizable with (a1), (a3), (a4), (a5), and

(a6) but different from (a5), or a mixture of such monomers (a2,

- 5 a3) an ethylenically unsaturated monomer which carries per molecule at least one acid group which can be converted into the corresponding acid anion group, and which is copolymerizable with (a1), (a2), (a4), (a5), and (a6), or a mixture of such monomers (a3), and
- 10 a4) if desired, one or more vinyl esters of alpha-branched monocarboxylic acids having from 5 to 18 carbon atoms per molecule, and/or
- 15 a5) if desired, at least one reaction product of acrylic acid and/or methacrylic acid with the glycidyl ester of an alpha-branched monocarboxylic acid having from 5 to 18 carbon atoms per molecule, or instead of the reaction product an
- 20 equivalent amount of acrylic and/or methacrylic acid which is then reacted during or after the polymerization reaction with the glycidyl ester of an alpha-branched monocarboxylic acid having from 5 to 18 carbon atoms per molecule,
- 25 a6) if desired, an ethylenically unsaturated monomer which is substantially free from acid groups, is copolymerizable with (a1), (a2), (a3), (a4), and

(a5) but different from (a1), (a2), (a4), and (a5), or a mixture of such monomers (a6),

the nature and amount of (a1), (a2), (a3), (a4), (a5),  
5 and (a6) being selected so that the polyacrylate resin (A1) has the desired OH number, acid number, and molecular weight.

To prepare the finely divided solid acrylate copolymers  
10 (A1) it is possible as component (a1) to use any (meth)acrylic alkyl or cycloalkyl ester which is copolymerizable with (a2), (a3), (a4), (a5), and (a6) and which has up to 20 carbon atoms in the alkyl radical, especially methyl, ethyl, propyl, n-butyl,  
15 sec-butyl, tert-butyl, hexyl, ethylhexyl, stearyl and lauryl acrylate or methacrylate; cycloaliphatic (meth)acrylic esters, especially cyclohexyl, isobornyl, dicyclopentadienyl, octahydro-4,7-methano-1H-indene-methanol or tert-butylcyclohexyl (meth)acrylate;  
20 (meth)acrylic oxaalkyl esters or oxacycloalkyl esters such as ethyl triglycol (meth)acrylate and methoxyoligoglycol (meth)acrylate having a molecular weight Mn of preferably 550; or other ethoxylated and/or propoxylated, hydroxyl-free (meth)acrylic acid  
25 derivatives. These may contain minor amounts of (meth)acrylic alkyl or cycloalkyl esters of higher functionality, such as ethylene glycol, propylene glycol, diethylene glycol, dipropylene glycol, butylene glycol, 1,5-pentanediol, 1,6-hexanediol, octahydro-4,7-

methano-1H-indenedimethanol or 1,2-, 1,3- or 1,4-cyclohexanediol di(meth)acrylate; trimethylolpropane di- or tri(meth)acrylate; or pentaerythritol di-, tri- or tetra(meth)acrylate. In the context of the present invention, minor amounts of monomers of relatively high functionality are understood as being amounts which do not lead to crosslinking or gelling of the polyacrylate resins.

- 10 As component (a2) it is possible to use ethylenically unsaturated monomers which carry at least one hydroxyl group per molecule and are substantially free from acid groups, and are copolymerizable with (a1), (a2), (a3), (a4), (a5), and (a6) but different from (a5), such as
- 15 hydroxyalkyl esters of acrylic acid, methacrylic acid or another alpha,beta-ethylenically unsaturated carboxylic acid which are derived from an alkylene glycol which is esterified with the acid or are obtainable by reacting the acid with an alkylene oxide,
- 20 especially hydroxyalkyl esters of acrylic acid, methacrylic acid, ethacrylic acid, crotonic acid, maleic acid, fumaric acid or itaconic acid in which the hydroxyalkyl group contains up to 20 carbon atoms, such as 2-hydroxyethyl, 2-hydroxypropyl, 3-hydroxypropyl,
- 25 3-hydroxybutyl, 4-hydroxybutyl acrylate, methacrylate, ethacrylate, crotonate, maleate, fumarate or itaconate; 1,4-bis(hydroxymethyl)cyclohexane, octahydro-4,7-methano-1H-indenedimethanol, or methylpropanediol monoacrylate, monomethacrylate, monoethacrylate, mono-

crotonate, monomaleate, monofumarate or monoitaconate;  
or reaction products of these hydroxyalkyl esters and  
cyclic esters, such as epsilon-caprolactone, for  
example; or olefinically unsaturated alcohols such as  
5 allyl alcohol or polyols such as trimethylolpropane  
monoallyl or diallyl ether or pentaerythritol  
monoallyl, diallyl or triallyl ether. Regarding these  
monomers (a2) of higher functionality, the comments  
made regarding the higher-functional monomers (a1)  
10 apply analogously. The fraction of trimethylolpropane  
monoallyl ether is usually from 2 to 10% by weight,  
based on the overall weight of the monomers (a1) to  
(a6) used to prepare the polyacrylate resin. In  
addition, however, it is also possible to add from 2 to  
15 10% by weight, based on the overall weight of the  
monomers used to prepare the polyacrylate resin, of  
trimethylolpropane monoallyl ether to the finished  
polyacrylate resin. The olefinically unsaturated  
polyols, such as trimethylolpropane monoallyl ether in  
20 particular, may be used as sole hydroxyl-containing  
monomers, but in particular may also be used  
proportionally in combination with other of the  
hydroxyl-containing monomers mentioned.

25 As component (a3), it is possible to use any  
ethylenically unsaturated monomer which carries at  
least one acid group, preferably a carboxyl group, per  
molecule and is copolymerizable with (a1), (a2), (a4),  
(a5), and (a6), or a mixture of such monomers. Acrylic

acid and/or methacrylic acid are used with particular preference as component (a3). It is, however, also possible to use other ethylenically unsaturated carboxylic acids having up to 6 carbon atoms in the molecule. Examples of such acids are ethacrylic acid, crotonic acid, maleic acid, fumaric acid, and itaconic acid. A further possibility is to use ethylenically unsaturated sulfonic or phosphonic acids, and/or their partial esters, as component (a3). Further suitable components (a3) include mono(meth)acryloyloxyethyl maleate, succinate, and phthalate.

As component (a4) use is made of one or more vinyl esters of alpha-branched monocarboxylic acids having from 5 to 18 carbon atoms in the molecule. The branched monocarboxylic acids may be obtained by reacting formic acid or carbon monoxide and water with olefins in the presence of a liquid, strongly acidic catalyst; the olefins may be cracking products of paraffinic hydrocarbons, such as mineral oil fractions, and may contain both branched and straight-chain acyclic and/or cycloaliphatic olefins. The reaction of such olefins with formic acid or with carbon monoxide and water produces a mixture of carboxylic acids in which the carboxyl groups are located predominantly on a quaternary carbon atom. Other olefinic starting materials are, for example, propylene trimer, propylene tetramer, and diisobutylene. Alternatively, the vinyl esters may be prepared conventionally from the acids,

by reacting the acid with acetylene, for example. Particular preference is given - owing to their ready availability - to using vinyl esters of saturated aliphatic monocarboxylic acids having 9 to 11 carbon atoms that are branched on the alpha carbon atom.

As component (a5), the reaction product of acrylic acid and/or methacrylic acid with the glycidyl ester of an alpha-branched monocarboxylic acid having from 5 to 18 carbon atoms per molecule is used. Glycidyl esters of highly branched monocarboxylic acids are available under the trade name Cardura. The reaction of the acrylic or methacrylic acid with the glycidyl ester of a carboxylic acid having a tertiary alpha carbon atom may take place before, during or after the polymerization reaction. As component (a5) it is preferred to use the reaction product of acrylic and/or methacrylic acid with the glycidyl ester of Versatic acid. This glycidyl ester is available commercially under the name Cardura E10.

As component (a6) it is possible to use all ethylenically unsaturated monomers that are substantially free from acid groups and are copolymerizable with (a1), (a2), (a3), (a4), and (a5) but different from (a1), (a2), (a3), and (a4), or mixtures of such monomers (a6). Suitable components (a6) include

- olefins such as ethylene, propylene, 1-butene, 1-pentene, 1-hexene, cyclohexene, cyclopentene, norbornene, butadiene, isoprene, cyclopentadiene and/or dicyclopentadiene;
- 5
- (meth)acrylamides such as (meth)acrylamide, N-methyl-, N,N-dimethyl-, N-ethyl-, N,N-diethyl-, N-propyl-, N,N-dipropyl, N-butyl-, N,N-dibutyl-, N-cyclohexyl- and/or N,N-cyclohexyl-methyl-  
10 (meth)acrylamide;
- monomers containing epoxide groups, such as the glycidyl ester of acrylic acid, methacrylic acid, ethacrylic acid, crotonic acid, maleic acid, fumaric acid and/or itaconic acid;  
15
- vinylaromatic hydrocarbons, such as styrene, alpha-alkylstyrenes, especially alpha-methylstyrene, and/or vinyltoluene;  
20
- nitriles such as acrylonitrile and/or methacrylonitrile;
- 25
- vinyl compounds such as vinyl chloride, vinyl fluoride, vinylidene dichloride, vinylidene difluoride; N-vinylpyrrolidone; vinyl ethers such as ethyl vinyl ether, n-propyl vinyl ether, isopropyl vinyl ether, n-butyl vinyl ether, isobutyl vinyl ether and/or vinyl cyclohexyl



ether; vinyl esters such as vinyl acetate, vinyl propionate, vinyl butyrate, vinyl pivalate and/or the vinyl ester of 2-methyl-2-ethylheptanoic acid; and/or

5

- polysiloxane macromonomers which have a number average molecular weight  $M_n$  of from 1000 to 40,000, preferably from 2000 to 20,000, with particular preference from 2500 to 10,000, and in particular from 3000 to 7000, and contain on average from 0.5 to 2.5, preferably from 0.5 to 1.5, ethylenically unsaturated double bonds per molecule, as described in DE-A 38 07 571 on pages 5 to 7, in DE-A 37 06 095 in columns 3 to 7, in EP-B-0 358 153 on pages 3 to 6, in US-A 4,754,014 in columns 5 to 9, in DE-A 44 21 823, or in the international patent application WO 92/22615 on page 12, line 18 to page 18, line 10, or acryloxysilane-containing vinyl monomers, preparable by reacting hydroxy-functional silanes with epichlorohydrin and then reacting that reaction product with methacrylic acid and/or hydroxyalkyl esters of (meth)acrylic acid.

10

15

20

25 It is preferred to use vinylaromatic hydrocarbons.

It is of advantage to use the polysiloxane macromonomers (a6) together with other monomers (a6). In this case the amount of the polysiloxane

macromonomer or macromonomers (a6) for modifying the acrylate copolymers (A1) should be less than 5% by weight, preferably from 0.05 to 2.5% by weight, with particular preference from 0.05 to 0.8% by weight, based in each case on the overall weight of the monomers used to prepare the copolymer (A1). The use of such polysiloxane macromonomers leads to an improvement in the slip of the coatings of the invention.

10 The nature and amount of components (a1) to (a6) is selected such that the finely divided solid acrylate copolymer (A1) has the desired OH number, acid number, and glass transition temperature. Finely divided solid acrylate copolymers (A1) used with particular  
15 preference are obtained by polymerizing

(a1) from 20 to 60% by weight, preferably from 30 to 50% by weight, of component (a1),

20 (a2) from 10 to 50% by weight, preferably from 15 to 40% by weight, of component (a2),

(a3) from 1 to 15% by weight, preferably from 1 to 8% by weight, of component (a3),

25

(a4) from 0 to 25% by weight, preferably from 5 to 15% by weight, of component (a4),

(a5) from 0 to 25% by weight, preferably from 5 to 15%  
by weight, of component (a5), and

(a6) from 5 to 30% by weight, preferably from 10 to 20%  
5 by weight, of component (a6),

the sum of the weight fractions of components (a1) to  
(a6) being in each case 100% by weight.

10 The water-soluble or water-dispersible finely divided  
solid acrylate copolymers (A) for use in accordance  
with the invention may be present individually or as a  
mixture.

15 If they are to be used in a mixture, it should be  
ensured that finely divided solid acrylate copolymers  
(A) containing functional groups (i) are not combined  
with finely divided solid acrylate copolymers (A)  
containing functional groups (ii), since this may lead  
20 to the formation of insoluble electrolyte complexes.

Furthermore, the finely divided solid acrylate  
copolymers (A) may additionally comprise binders (A)  
which per se are not dispersible or soluble in water  
25 but which can be dispersed in water in the presence of  
the water-soluble or dispersible acrylate copolymers  
(A). Examples of suitable binders (A) not soluble or  
dispersible in water come from the oligomer and/or  
polymer classes described below, with the proviso that

they contain no hydrophilic functional groups (i), (ii) or (iii) or only so few such groups as not to result in water-solubility or -dispersibility.

5 If, in the preparation of the coating compositions of the invention, the mixing of the components (I), (II), (III), and (IV) is to take place by manual stirring, it is of advantage for the coating composition of the invention if the finely divided solid acrylate  
10 copolymers (A) are selected such that their 50% strength solution in ethoxyethyl propionate at 23°C has a viscosity of  $\leq 10$  dPas. Where mechanical mixing is to take place, it is possible to use binders (A) of higher viscosity, whose 50% strength solution in ethoxyethyl  
15 propionate at 23°C has a viscosity of  $\leq 100$  dPas. The viscosity is limited at the top end only by the performance capacity of the mixing equipment.

The particle size of the finely divided solid acrylate  
20 copolymers (A) is not critical. What is important is that the particle size is not made so small that the particles tend to agglomerate and/or become respirable, or so large that redissolution or redispersion is hindered or prevented. In accordance with the  
25 invention, particle sizes of from 5 to 500  $\mu\text{m}$  are of advantage.

The preparation of the finely divided solid acrylate copolymers (A) has no special features in terms of its

method but instead takes place in accordance with the customary and known methods of polymerization in bulk, solution or emulsion or by suspension polymerization or precipitation polymerization and drying of the  
5 resulting acrylate copolymers (A) with the aid of customary and known methods and apparatus and under conditions which ensure the formation of finely divided solid products. Examples of suitable drying methods are spray drying, freeze drying, and precipitation from  
10 solution, emulsion or suspension.

In many cases it is of advantage, after preparing the acrylate copolymers (A), to add to them aqueous media, which may include at least one of the neutralizing  
15 agents (D) described below, in order to convert them into a secondary dispersion, which is then dried.

In the case of polymerization in solution, solvents are used which do not pose a hindrance to drying but are  
20 instead easy to remove from the acrylate copolymers (A). It is preferred to use solvents having a comparatively high vapor pressure. The same applies to the cosolvents which may be used in the emulsion, suspension or precipitation polymerization or for  
25 preparing the secondary dispersions, or to the nonsolvents which are used for precipitation.

For the preparation of the acrylate copolymers (A1) used with preference in accordance with the invention it is advantageous to use polymerization initiators.

5 Examples of suitable polymerization initiators are initiators which form free radicals, such as tert-butyl peroxyethylhexanoate, benzoyl peroxide, di-tert-amyl peroxide, azobisisobutyronitrile, and tert-butyl perbenzoate, for example. The initiators are used  
10 preferably in an amount from 1 to 25% by weight, with particular preference from 2 to 10% by weight, based on the overall weight of the monomers.

The polymerization is appropriately conducted at a  
15 temperature from 80 to 200°C, preferably from 110 to 180°C. Preferred solvents used are ethoxyethyl propionate and isopropoxypropanol.

The acrylate copolymer (A1) is preferably prepared by a  
20 two-stage process, since in that way the resultant coating compositions of the invention possess better processing properties. It is therefore preferred to use acrylate copolymers (A1) which are obtainable by

25 1. polymerizing a mixture of (a1), (a2), (a4), (a5), and (a6), or a mixture of portions of components (a1), (a2), (a4), (a5), and (a6), in an organic solvent and/or in one of the reactive diluents mentioned below,

2. after at least 60% by weight of the mixture consisting of (a1), (a2), (a4), (a5), and, where used, (a6) have been added, adding (a3) and any remainder of components (a1), (a2), (a4), (a5), and (a6), and continuing polymerization, and
3. after the end of the polymerization, subjecting the resulting polyacrylate resin if desired to at least partial neutralization, i.e., converting the acid groups into the corresponding acid anion groups.

In addition, however, it is also possible to include components (a4) and/or (a5) in the initial charge together with at least part of the solvent, and to meter in the remaining components. Moreover, it is also possible for components (a4) and/or (a5) to be included only in part in the initial charge, together with at least part of the solvent, and for the remainder of these components to be added as described above. Preferably, for example, at least 20% by weight of the solvent and about 10% by weight of component (a4) and (a5), and also, if desired, portions of components (a1) and (a6), are included in the initial charge.

Preference is also given to preparing the acrylate copolymers (A1) by means of a two-stage process whose first stage lasts from 1 to 8 hours, preferably from

1.5 to 4 hours, and in which a mixture of (a3) and any remainder of components (a1), (a2), (a4), (a5), and (a6) is added over the course of from 20 to 120 minutes, preferably over the course of from 30 to 90 minutes. Following the end of the addition of the mixture of (a3) and any remainder of components (a1), (a2), (a4), (a5), and (a6), polymerization is continued until all of the monomers used have undergone substantially complete reaction. The second stage in this process may immediately follow the first. Alternatively, the second stage may be commenced after a certain time, for example after from 10 minutes to 10 hours.

The amount and rate of addition of the initiator are preferably chosen so as to give a polyacrylate resin (A1) having a number average molecular weight  $M_n$  of from 1000 to 30,000 daltons. It is preferred to commence the initiator feed at a certain time, generally about 15 minutes, before the feeding of the monomers. Preference is given, further, to a process in which the addition of initiator is commenced at the same point in time as the addition of the monomers and is ended about half an hour after the addition of the monomers has ended. The initiator is preferably added in a constant amount per unit time. Following the end of the addition of initiator, the reaction mixture is held at polymerization temperature until (generally 1.5 hours) all of the monomers used have undergone



substantially complete reaction. "Substantially complete reaction" is intended to denote that preferably 100% by weight of the monomers used have undergone reaction but that it is also possible for a  
5 small residual monomer content of not more than up to about 0.5% by weight, based on the weight of the reaction mixture, to remain unreacted.

Preferably, the monomers for preparing the acrylate  
10 copolymers (A1) are polymerized at a polymerization solids which is not too high, preferably at a polymerization solids of from 80 to 50% by weight, based on the comonomers, and then the solvents are removed in part by distillation, so that the resulting  
15 acrylate copolymer solutions (A1) have a solids content of preferably from 100 to 60% by weight.

The preparation of the finely divided solid acrylate copolymers (A1), especially the finely divided solid  
20 acrylate copolymers (A1) for use in accordance with the invention takes place by means of the methods of continuous or batchwise copolymerization that are known and customary in the polymers field, under atmospheric pressure or superatmospheric pressure, in stirred  
25 tanks, autoclaves, tube reactors or Taylor reactors.

Examples of suitable (co)polymerization processes for preparing the acrylate copolymers (A1) are described in the patents DE-A-197 09 465, DE-C-197 09 476,

DE-A-28 48 906, DE-A-195 24 182, EP-A-0 554 783,  
WO 95/27742 or WO 82/02387.

Taylor reactors are advantageous.

5

Taylor reactors, which serve to convert substances under the conditions of Taylor flow, are known. They consist substantially of two coaxial concentric cylinders of which the outer is fixed and the inner rotates. The reaction space is the volume formed by the gap between the cylinders. Increasing angular velocity  $\omega_i$  of the inner cylinder is accompanied by a series of different flow patterns which are characterized by a dimensionless parameter, known as the Taylor number  $Ta$ .  
10 In addition to the angular velocity of the stirrer, the Taylor number is also dependent on the kinematic viscosity  $\nu$  of the fluid in the gap and on the geometric parameters, the external radius of the inner cylinder  $r_i$ , the internal radius of the outer cylinder  
15  $r_o$ , and the gap width  $d$ , the difference between the two radii, in accordance with the following formula:

$$Ta = \omega_i r_i d \nu^{-1} (d/r_i)^{1/2} \quad (I)$$

where  $d = r_o - r_i$ .

25

At low angular velocity, the laminar Couette flow, a simple shear flow, develops. If the rotary speed of the inner cylinder is increased further, then, above a critical level, alternately contrarotating vortices

(rotating in opposition) occur, with axes along the peripheral direction. These vortices, called Taylor vortices, are rotationally symmetric and have a diameter which is approximately the same size as the gap width. Two adjacent vortices form a vortex pair or vortex cell.

The basis for this behavior is the fact that, in the course of rotation of the inner cylinder with the outer cylinder at rest, the fluid particles that are near to the inner cylinder are subject to a greater centrifugal force than those at a greater distance from the inner cylinder. This difference in the acting centrifugal forces displaces the fluid particles from the inner to the outer cylinder. The centrifugal force acts counter to the viscosity force, since for the motion of the fluid particles it is necessary to overcome the friction. Any increase in the rotary speed is accompanied by an increase in the centrifugal force as well. The Taylor vortices are formed when the centrifugal force exceeds the stabilizing viscosity force.

In the case of Taylor flow with a low axial flow, each vortex pair passes through the gap, with only a low level of mass transfer between adjacent vortex pairs. Mixing within such vortex pairs is very high, whereas axial mixing beyond the pair boundaries is very low. A vortex pair may therefore be regarded as a stirred tank

in which there is thorough mixing. Accordingly, the flow system behaves as an ideal flow tube in that the vortex pairs pass through the gap with constant residence time, like ideal stirred tanks.

5

Of advantage in accordance with the invention here are Taylor reactors having an external reactor wall located within which there is a concentrically or eccentrically disposed rotor, a reactor floor, and a reactor lid, which together define the annular reactor volume, at least one means for metered addition of reactants, and a means for the discharge of product, where the reactor wall and/or the rotor are or is geometrically designed in such a way that the conditions for Taylor flow are met over substantially the entire reactor length in the reactor volume, i.e., in such a way that the annular gap broadens in the direction of flow traversal.

The further essential constituent of the coating compositions of the invention is component (I). It comprises at least one binder (A) containing functional groups which react with isocyanate groups. Suitable functional groups are all those described above in connection with component (IV).

25

Examples of suitable binders (A) are linear and/or branched and/or block, comb and/or random poly(meth)acrylates or acrylate copolymers, polyesters, alkyds, polyurethanes, acrylated polyurethanes,

acrylated polyesters, poly-lactones, polycarbonates, polyethers, epoxy resin-amine adducts, (meth)-acrylated diols, partially saponified polyvinyl esters or polyureas, of which the acrylate copolymers, the  
5 polyesters, the polyurethanes, the polyethers, and the epoxy resin-amine adducts are particularly advantageous and are therefore used with particular preference.

Regarding the preparability, the handling and the  
10 particularly advantageous properties of the coating compositions of the invention that are prepared using them, the acrylate copolymers, the polyesters and/or the polyurethanes, but in particular the acrylate copolymers, afford very particular advantages, and so  
15 are used with very particular preference in accordance with the invention.

Where binders (A) which per se are not water-soluble or water-dispersible are used in component (I), it should  
20 be ensured that, by way of component (III) and/or (IV), the amount of water-soluble or water-dispersible binders (A) introduced into the coating composition of the invention is sufficient for the binders (A) overall to form a stable dispersion.

25

In component (I) as well, particular preference is given to using the above-described acrylate copolymers (A1) and also the polyester resins (A2) and/or polyurethane resins (A3) described below.

It is very particularly preferred to use the acrylate copolymers (AI) which have been prepared in what are known as reactive diluents as solvents, which are not  
5 separated off after the copolymerization. These reactive diluents participate in the reaction with the crosslinking component (II).

Examples of suitable thermally crosslinkable reactive  
10 diluents are branched, cyclic and/or acyclic C<sub>9</sub>-C<sub>16</sub> alkanes functionalized with at least two hydroxyl groups, preferably dialkyloctanediols, especially the positionally isomeric diethyloctanediols.

15 Further examples of suitable thermally crosslinkable reactive diluents are oligomeric polyols obtainable by hydroformylation and subsequent hydrogenation of oligomeric intermediates themselves obtained by metathesis reactions of acyclic monoolefins and cyclic  
20 monoolefins; examples of suitable cyclic monoolefins are cyclobutene, cyclopentene, cyclohexene, cyclooctene, cycloheptene, norbornene, and 7-oxanorbornene; examples of suitable acyclic monoolefins are contained in hydrocarbon mixtures obtained in petroleum  
25 processing by cracking (C<sub>5</sub> cut); examples of suitable oligomeric polyols for use in accordance with the invention have a hydroxyl number (OHN) of from 200 to 450, a number average molecular weight Mn of from 400

to 1000, and a mass average molecular weight  $M_w$  of from 600 to 1100.

- Further examples of suitable thermally crosslinkable
- 5 reactive diluents are hyperbranched compounds having a tetrafunctional central group, derived from ditrimethylolpropane, diglycerol, ditrimethylolethane, pentaerythritol, tetrakis(2-hydroxyethyl)methane, tetrakis(3-hydroxypropyl)methane or 2,2-bishydroxy-
- 10 methyl-1,4-butanediol (homopentaerythritol). These reactive diluents may be prepared by the customary and known methods of preparing hyperbranched and dendrimeric compounds. Suitable synthesis methods are described, for example, in the patents WO 93/17060 and
- 15 WO 96/12754 or in the book by G.R. Newkome, C.N. Moorefield and F. Vögtle, "Dendritic Molecules, Concepts, Syntheses, Perspectives", VCH, Weinheim, New York, 1996.
- 20 Further examples of suitable reactive diluents are polycarbonatediols, polyesterpolyols, poly(meth)-acrylatediols or hydroxyl-containing polyaddition products.
- 25 Examples of suitable isocyanate-reactive solvents are butyl glycol, 2-methoxypropanol, n-butanol, methoxybutanol, n-propanol, ethylene glycol monomethyl ether, ethylene glycol monoethyl ether, ethylene glycol monobutyl ether, diethylene glycol monomethyl ether,

diethylene glycol monoethyl ether, diethylene glycol diethylene ether, diethylene glycol monobutyl ether, trimethylolpropane, ethyl 2-hydroxypropionate or 3-methyl-3-methoxybutanol and also derivatives based on  
5 propylene glycol, e.g., ethoxyethyl propionate, isopropoxypropanol or methoxypropyl acetate.

Said reactive diluents, especially the functionalized alkanes, and/or the isocyanate-reactive solvents may  
10 also be present in component (III).

Suitable polyester resins (A2) include all polyesters having the above-indicated OH numbers, acid numbers, molecular weights, and viscosities.  
15

Use is made in particular of polyester resins (A2) obtainable by reacting

p1) optionally sulfonated polycarboxylic acids or  
20 their esterifiable derivatives, together if desired with monocarboxylic acids,

p2) polyols, together if desired with monools,

25 p3) if desired, further, modifying components, and

p4) if desired, a component which is reactive with the reaction product of (p1), (p2) and, where used, (p3).



Examples that may be given of polycarboxylic acids that may be used as component (p1) are aromatic, aliphatic, and cycloaliphatic polycarboxylic acids. As component 5 (p1) it is preferred to use aromatic and/or aliphatic polycarboxylic acids.

Examples of suitable polycarboxylic acids are phthalic acid, isophthalic acid, terephthalic acid, phthalic, 10 isophthalic or terephthalic monosulfonate, halophthalic acids, such as tetrachlorophthalic or tetrabromophthalic acid, adipic acid, glutaric acid, azelaic acid, sebacic acid, fumaric acid, maleic acid, trimellitic acid, pyromellitic acid, tetrahydrophthalic 15 acid, hexahydrophthalic acid, 1,2-cyclohexanedicarboxylic acid, 1,3-cyclohexanedicarboxylic acid, 1,4-cyclohexanedicarboxylic acid, 4-methylhexahydrophthalic acid, endomethylenetetrahydrophthalic acid, tricyclodecanedicarboxylic acid, endoethylenehexa- 20 hydrophthalic acid, camphoric acid, cyclohexanetetracarboxylic acid, or cyclobutanetetracarboxylic acid. The cycloaliphatic polycarboxylic acids may be used either in their cis or in their trans form or as a mixture of both forms. Also suitable are the 25 esterifiable derivatives of the aforementioned polycarboxylic acids, such as their monoesters or polyesters with aliphatic alcohols having from 1 to 4 carbon atoms or hydroxy alcohols having from 1 to 4 carbon atoms, for example. It is also possible to use

the anhydrides of the abovementioned acids, where they exist.

If desired, together with the polycarboxylic acids it is also possible to use monocarboxylic acids, such as benzoic acid, tert-butylbenzoic acid, lauric acid, isononanoic acid, and fatty acids of naturally occurring oils, for example. Isononanoic acid is a preferred monocarboxylic acid used.

10 Suitable alcohol components (p2) for preparing the polyester (A2) are polyhydric alcohols, such as ethylene glycol, propanediols, butanediols, hexanediols, neopentyl hydroxypivalate, neopentyl glycol, 15 diethylene glycol, cyclohexanediol, cyclohexanedimethanol, trimethylpentanediol, ethylbutylpropanediol, ditrimethylolpropane, trimethylolpropane, trimethylolpropane, glycerol, pentaerythritol, dipentaerythritol, trishydroxyethyl isocyanate, polyethylene 20 glycol, polypropylene glycol, alone or together with monohydric alcohols, such as butanol, octanol, lauryl alcohol, cyclohexanol, tert-butylcyclohexanol, ethoxylated and/or propoxylated phenols, for example.

25 Compounds suitable as component (p3) for preparing the polyesters (A2) include in particular those having a group which is reactive toward the functional groups of the polyester, with the exception of the compounds specified as component (p4). As modifying component

(p3) it is preferred to use polyisocyanates and/or diepoxide compounds, and also, if desired, monoisocyanates and/or monoepoxide compounds. Suitable components (p3) are described, for example, in DE-A-40 24 204 on page 4, lines 4 to 9.

Compounds suitable as component (p4) for preparing the polyesters (A2) are those compounds which in addition to a group that is reactive toward the functional groups of the polyester (A2) also contain a tertiary amino group, examples including monoisocyanates containing at least one tertiary amino group, or mercapto compounds containing at least one tertiary amino group. For details, refer to DE-A-40 24 204, page 4, lines 10 to 49.

The polyester resins (A2) are prepared in accordance with the known methods of esterification, as is described, for example, in DE-A-40 24 204, page 4, lines 50 to 65. This reaction takes place usually at temperatures between 180 and 280°C, in the absence or presence of an appropriate esterification catalyst, such as lithium octoate, dibutyltin oxide, dibutyltin dilaurate or para-toluenesulfonic acid, for example.

The polyester resins (A2) are normally prepared in the presence of small amounts of an appropriate solvent as entrainer. Examples of entrainers used include aromatic hydrocarbons, such as xylene in particular, and

(cyclo)aliphatic hydrocarbons, e.g. cyclohexane or methylcyclohexane.

It is particularly preferred to use polyester resins  
5 (A2) which have been prepared by a two-stage process,  
by first preparing a hydroxyl-containing polyester  
having an OH number of from 100 to 300 mg KOH/g, an  
acid number of less than 10 mg KOH/g, and a number  
average molecular weight  $M_n$  of from 500 to  
10 2000 daltons, which is then reacted in a second stage  
with carboxylic anhydrides to give the desired  
polyester resin (A2). The amount of carboxylic  
anhydrides in this case is chosen so that the resulting  
polyester resin (A2) has the desired acid number. Acid  
15 anhydrides suitable for this reaction are all those  
commonly used, such as hexahydrophthalic anhydride,  
trimellitic anhydride, pyromellitic anhydride, phthalic  
anhydride, camphoric anhydride, tetrahydrophthalic  
anhydride, succinic anhydride, and mixtures of these  
20 and/or other anhydrides, and especially anhydrides of  
aromatic polycarboxylic acids, such as trimellitic  
anhydride, for example.

It is possible if desired for the acrylate copolymer  
25 (A1) to have been prepared at least in part in the  
presence of the polyester resin (A2). In this case,  
advantageously at least 20% by weight and with  
particular advantage from 40 to 80% by weight of the  
acrylate copolymer (A1) are prepared in the presence of

the polyester resin (A2). Any remainder of the acrylate copolymer (A1) is added subsequently to the component (I). In this case it is possible for this already polymerized resin to have the same monomer composition as the acrylate copolymer (A1) synthesized in the presence of the polyester resin (A2). Alternatively, a hydroxyl-containing acrylate copolymer (A1) having a different monomer composition may be added. Also possible is the addition of a mixture of different acrylate copolymers (A1) and/or polyester resins (A2), with possibly one resin having the same monomer composition as the acrylate copolymer (A1) synthesized in the presence of the polyester resin (A2).

As the polyurethane resin (A3) for use in accordance with the invention, containing hydroxyl and acid groups, suitable resins include all polyurethane resins having the indicated OH numbers, acid numbers, molecular weights, and viscosities.

Suitable polyurethane resins (A3) are described, for example, in the following documents: EP-A-355 433, DE-A-35 45 618, DE-A-38 13 866, DE-A-32 10 051, DE-A-26 24 442, DE-A-37 39 332, US-A-4,719,132, EP-A-0 089 497, US-A-4,558,090, US-A-4,489,135, DE-A-36 28 124, EP-A-0 158 099, DE-A-29 26 584, EP-A-0 195 931, DE-A-33 21 180 and DE-A-40 05 961.

In component (I) it is preferred to use polyurethane resins (A3) which are preparable by reacting isocyanato-containing prepolymers with compounds that are reactive toward isocyanate groups.

5

The preparation of isocyanato-containing prepolymers may take place by reacting polyols having a hydroxyl number of from 10 to 1800, preferably from 50 to 1200 mg KOH/g, with excess polyisocyanates at 10 temperatures of up to 150°C, preferably from 50 to 130°C, in organic solvents which are unable to react with isocyanates. The equivalence ratio of NCO to OH groups is situated between 2.0:1.0 and > 1.0:1.0, preferably between 1.4:1 and 1.1:1.

15

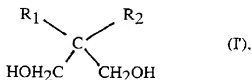
The polyols used to prepare the prepolymer may be of low molecular weight and/or high molecular weight and may contain groups that are slow to react and are anionic or capable of forming anions. It is also 20 possible to use low molecular weight polyols having a molecular weight of from 60 up to 400 daltons to prepare the isocyanato-containing prepolymers. In this case amounts of up to 30% by weight of the overall polyol constituents are used, preferably from about 2 25 to 20% by weight.

In order to obtain an NCO prepolymer of high flexibility, a high fraction of a predominantly linear polyol having a preferred OH number of from 30 to

150 mg KOH/g should be added. Up to 97% by weight of the overall polyol may consist of saturated and unsaturated polyesters and/or polyethers having a number average molecular weight  $M_n$  of from 400 to 5000 daltons. The selected polyetherdiols should not introduce excessive amounts of ether groups, since otherwise the polymers formed start to swell in water. Polyesterdiols are prepared by esterifying organic dicarboxylic acids or their anhydrides with organic diols, or derive from a hydroxycarboxylic acid or from a lactone. In order to prepare branched polyester polyols, it is possible to employ a minor proportion of polyols or polycarboxylic acids having a higher functionality.

The alcohol component used to prepare the polyurethane resins preferably consists at least to a certain extent of

$u_1$ ) at least one diol of the formula (I')

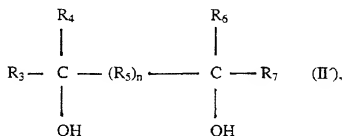


in which  $R_1$  and  $R_2$  are each an identical or different radical and are an alkyl radical having from 1 to 18 carbon atoms, an aryl radical or a

cycloaliphatic radical, with the proviso that  $R_1$  and/or  $R_2$  must not be methyl, and/or

$u_2$ ) at least one diol of the formula (II')

5



10

in which  $R_3$ ,  $R_4$ ,  $R_6$  and  $R_7$  are each identical or different radicals and are an alkyl radical having from 1 to 6 carbon atoms, a cycloalkyl radical or an aryl radical and  $R_5$  is an alkyl radical having from 1 to 6 carbon atoms, an aryl radical or an unsaturated alkyl radical having from 1 to 6 carbon atoms, and  $n$  is either 0 or 1.

15

Suitable diols ( $u_1$ ) are all propanediols of the formula (I') in which either  $R_1$  or  $R_2$  or  $R_1$  and  $R_2$  is or are other than methyl, such as 2-butyl-2-ethyl-1,3-propanediol, 2-butyl-2-methyl-1,3-propanediol, 2-phenyl-2-methyl-1,3-propanediol, 2-propyl-2-ethyl-1,3-propanediol, 2-di-tert-butyl-1,3-propanediol, 2-butyl-2-propyl-1,3-propanediol, 1-dihydroxymethylbicyclo-[2.2.1]heptane, 2,2-diethyl-1,3-propanediol, 2,2-dipropyl-1,3-propanediol, 2-cyclohexyl-2-methyl-1,3-propanediol, et cetera, for example.

25



Examples of diols ( $u_2$ ) (formula (II')) that may be used include 2,5-dimethyl-2,5-hexanediol, 2,5-diethyl-2,5-hexanediol, 2-ethyl-5-methyl-2,5-hexanediol, 2,4-dimethyl-2,4-pentanediol, 2,3-dimethyl-2,3-butanediol, 5 1,4-bis(2'-hydroxypropyl)benzene, and 1,3-bis(2'-hydroxypropyl)benzene.

As diols ( $u_1$ ) it is preferred to use 2-propyl-2-ethyl-1,3-propanediol, 2,2-diethyl-1,3-propanediol, 2-butyl-10 2-ethyl-1,3-propanediol, and 2-phenyl-2-ethyl-1,3-propanediol, and as component ( $u_2$ ) it is preferred to use 2,3-dimethyl-2,3-butanediol and also 2,5-dimethyl-2,5-hexanediol. Particular preference is given to using 2-butyl-2-ethyl-1,3-propanediol and also 2-phenyl-2-ethyl-1,3-propanediol as component ( $u_1$ ) and 2,5-15 dimethyl-2,5-hexanediol as component ( $u_2$ ).

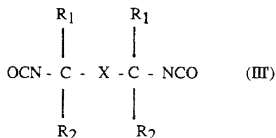
The diols ( $u_1$ ) and/or ( $u_2$ ) are commonly used in an amount of from 0.5 to 15% by weight, preferably from 1 20 to 7% by weight, based in each case on the overall weight of the synthesis components used to prepare the polyurethane resins (A3).

Typical multifunctional isocyanates used to prepare the 25 polyurethane resins (A3) are aliphatic, cycloaliphatic and/or aromatic polyisocyanates containing at least two isocyanate groups per molecule. Preference is given to the isomers or isomer mixtures of organic diisocyanates. Owing to their good stability to ultraviolet

light, (cyclo)aliphatic diisocyanates give rise to products having a low tendency to yellow. The polyisocyanate component used to form the prepolymer may also contain a fraction of polyisocyanates of higher functionality, provided that no gelling is caused as a result. Products which have become established as triisocyanates are those formed by trimerization or oligomerization of diisocyanates or by reaction of diisocyanates with polyfunctional compounds containing OH or NH groups. The average functionality may be lowered if desired by adding monoisocyanates.

Examples of polyisocyanates that may be used include phenylene diisocyanate, tolylene diisocyanate, xylylene diisocyanate, bisphenylene diisocyanate, naphthylene diisocyanate, diphenylmethane diisocyanate, isophorone diisocyanate, cyclobutane diisocyanate, cyclopentylene diisocyanate, cyclohexylene diisocyanate, methylcyclohexylene diisocyanate, dicyclohexylmethane diisocyanate, ethylene diisocyanate, trimethylene diisocyanate, tetramethylene diisocyanate, pentamethylene diisocyanate, hexamethylene diisocyanate, propylene diisocyanate, ethylethylene diisocyanate, and trimethylhexane diisocyanate.

To prepare high-solids polyurethane solutions (A3), use is made in particular of diisocyanates of the general formula (III')



where X is a divalent aromatic hydrocarbon radical, preferably an unsubstituted or halogen-, methyl- or methoxy-substituted naphthylene, diphenylene or 1,2-, 1,3- or 1,4-phenylene radical, with particular preference a 1,3-phenylene radical and R<sub>1</sub> and R<sub>2</sub> are an alkyl radical having 1 - 4 carbon atoms, preferably a methyl radical. Diisocyanates of the formula (III') are known (their preparation is described, for example, in EP-A-101 832, US-A-3,290,350, US-A-4,130,577, and US-A-4,439,616) and some are available commercially (1,3-bis(2-isocyanatoprop-2-yl)benzene, for example, is sold by the American Cyanamid company under the tradename TMXDI (META)®).

Further preferred as polyisocyanate components are diisocyanates of the formula (IV'):



where: R is a divalent alkyl or aralkyl radical having from 3 to 20 carbon atoms and

R' is a divalent alkyl or aralkyl radical having from 1 to 20 carbon atoms;

especially 1-isocyanato-2-(3-isocyanatoprop-1-yl)cyclo-  
5 hexane.

Polyurethanes are generally incompatible with water unless specific constituents are incorporated and/or special preparation steps taken in the course of their  
10 synthesis. To prepare the polyurethane resins (A3) it is thus possible to use compounds which contain two H-active groups that are reactive with isocyanate groups, and at least one group which ensures dispersibility in water. Suitable groups of this kind are nonionic groups  
15 (e.g., polyethers), anionic groups, mixtures of these two groups, or cationic groups.

Accordingly it is possible to build into the polyurethane resin (A3) an acid number which is  
20 sufficiently large that the neutralized product can be dispersed safely in water. For this purpose use is made of compounds containing at least one isocyanate-reactive group and at least one group capable of forming anions. Suitable isocyanate-reactive groups  
25 are, in particular, hydroxyl groups and also primary and/or secondary amino groups. Groups capable of forming anions are carboxyl, sulfonic acid and/or phosphonic acid groups. It is preferred to use alkanolic acids having two substituents on the alpha carbon atom.

The substituent may be a hydroxyl group, an alkyl group or an alkylol group. These polyols have at least one, generally from 1 to 3, carboxyl groups in the molecule. They have from 2 to about 25, preferably from 3 to 10 carbon atoms. The carboxyl-containing polyol may account for from 3 to 100% by weight, preferably from 5 to 50% by weight, of the overall polyol constituent in the NCO prepolymer.

- 10 The amount of ionizable carboxyl groups that is available by virtue of the carboxyl group neutralization in salt form is generally at least 0.4% by weight, preferably at least 0.7% by weight, based on the solids. The upper limit is approximately 12% by
- 15 weight. The amount of dihydroxyalkanoic acids in the unneutralized prepolymer gives an acid number of at least 5 mg KOH/g, preferably at least 10 mg KOH/g. With very low acid numbers, it is generally necessary to take further measures to achieve dispersibility in
- 20 water. The upper limit on the acid number is 150 mg KOH/g, preferably 40 mg KOH/g, based on the solids. The acid number is preferably situated within the range from 20 to 40 mg KOH/g.
- 25 The isocyanate groups of the isocyanato-containing prepolymer are reacted with a modifier. The modifier is preferably added in an amount such that instances of chain extension and thus of molecular weight increase occur. Modifiers used are preferably organic compounds

containing hydroxyl and/or secondary and/or primary amino groups, especially polyols with a functionality of two, three and/or more. Examples of polyols which can be used include trimethylolpropane, 1,3,4-  
5 butanetriol, glycerol, erythritol, mesoerythritol, arabitol, adonitol, etc. Trimethylolpropane is used with preference.

To prepare the polyurethane resin (A3) it is preferred  
10 first to prepare an isocyanato-containing prepolymer from which the desired polyurethane resin (A3) is then prepared by further reaction, preferably chain extension. The reaction of the components takes place in accordance with the well-known processes of organic  
15 chemistry (cf., e.g., Kunststoff-Handbuch, Volume 7: Polyurethane, edited by Dr. Y. Oertel, Carl Hanser Verlag, Munich, Vienna, 1983). Examples of the preparation of the prepolymers are described in DE-A 26 24 442 and DE-A 32 10 051. The polyurethane  
20 resins (A3) may be prepared by the known methods (e.g., acetone method).

The components are preferably reacted in ethoxyethyl propionate (EEP) as solvent. The amount of EEP in this  
25 case may be variable within wide limits and should be sufficient for the formation of a prepolymer solution of appropriate viscosity. In general up to 70% by weight, preferably from 5 to 50% by weight, and with particular preference less than 20% by weight of

solvent is used, based on the solids. Accordingly, the reaction may be carried out with very particular preference for example, at a solvent content of 10-15% by weight EEP, based on the solids.

5

The reaction of the components may take place if desired in the presence of a catalyst, such as organotin compounds and/or tertiary amines.

10 To prepare the prepolymers, the amounts of the components are chosen such that the equivalents ratio of NCO groups to OH groups is situated between 2.0:1.0 and  $> 1.0:1.0$ , preferably between 1.4:1 and 1.1:1.

15 The NCO prepolymer contains at least about 0.5% by weight of isocyanate groups, preferably at least 1% by weight of NCO, based on the solids. The upper limit is approximately 15% by weight, preferably 10% by weight, with particular preference 5% by weight of NCO.

20

In particular, the especially preferred component (I) comprises as binder (A)

(A1) at least 20% by weight of at least one acrylate  
25 copolymer (A1),

(A2) from 0 to 30% by weight of at least one polyester resin (A2),

(A3) from 0 to 80% by weight of at least one polyurethane resin (A3), and

(A4) from 0 to 10% by weight of at least one further  
5 binder (A),

the sum of the weight fractions of components (A1) to (A4) being in each case 100% by weight.

10 Besides the binders (A), the component (I) may include as constituent (B) all customary coatings pigments and/or fillers in fractions of from 0 to 60% by weight, based on component (I). In this context it is possible to use not only the pigments that are common in aqueous  
15 coating compositions and which do not react with water and/or do not dissolve in water, but also the pigments commonly employed in conventional coating compositions. The pigments may comprise organic or inorganic compounds and may impart color and/or effect. The  
20 coating composition of the invention therefore ensures, owing to this large number of appropriate pigments, a universal scope for use, and permits the realization of a large number of shades.

25 As effect pigments it is possible to use metal flake pigments, such as commercially customary aluminum bronzes, aluminum bronzes chromated in accordance with DE-A-36 36 183, and commercially customary stainless steel bronzes, and also nonmetallic effect pigments,



such as pearlescent pigments and interference pigments for example. Examples of suitable inorganic color pigments are titanium dioxide, iron oxides, Sicotrans yellow, and carbon black. Examples of suitable organic color pigments are indanthrene blue, Cromophthal red, Irgazine orange and Heliogen green. Examples of suitable fillers are chalk, calcium sulfates, barium sulfate, silicates such as talc or kaolin, silicas, oxides such as aluminum hydroxide or magnesium hydroxide, nanoparticles or organic fillers such as textile fibers, cellulose fibers, polyethylene fibers or wood flour.

As a further constituent (C) the component (I) may include at least one organic solvent which can be diluted with water. Such solvents may also participate in the reaction with the crosslinking component (II) and may therefore act as reactive diluents. Examples of suitable solvents or reactive diluents are those specified above.

Also suitable as solvents are esters, ketones, keto esters, glycol ethers such as ethylene, propylene or butylene glycol ethers, glycol esters such as ethylene, propylene or butylene glycol esters, or glycol ether esters such as ethoxyethyl propionate and isopropoxypropanol. Further suitable solvents include aliphatic and aromatic solvents such as dipentene, xylene or Shellsol<sup>R</sup>.

As constituent (D) the component (I) comprises, if desired, at least one neutralizing agent.

5 Examples of suitable neutralizing agents for functional groups (i) which can be converted into cations are organic and inorganic acids such as sulfuric acid, hydrochloric acid, phosphoric acid, formic acid, acetic acid, lactic acid, dimethylolpropionic acid or citric  
10 acid.

Examples of suitable neutralizing agents for functional groups (ii) which can be converted into anions are ammonia, ammonium salts, such as ammonium carbonate or  
15 ammonium hydrogen carbonate, for example, and also amines, such as trimethylamine, triethylamine, tributylamine, dimethylaniline, diethylaniline, triphenylamine, dimethylethanolamine, diethylethanolamine, methyldiethanolamine, triethanolamine, and the like.

20 Neutralization may be effected in organic phase or in aqueous phase. Dimethylethanolamine is a preferred neutralizing agent used.

The amount of neutralizing agent (D) used in total in  
25 the coating composition of the invention is chosen such that from 1 to 100 equivalents, preferably from 50 to 90 equivalents, of the functional groups (i) or (ii) of the binder (A) are neutralized. The neutralizing agent (D) may be added to component (I), (II) and/or (III) or

during the preparation of component (IV) before it is dried. Preferably, however, the neutralizing agent (D) is added to component (III).

5 As constituent (E) the component (I) may comprise at least one rheology control additive. Examples of suitable rheology control additives are those known from the patents WO 94/22968, EP-A-0 276 501, EP-A-0 249 201, and WO 97/12945; crosslinked polymeric  
10 microparticles, as disclosed for example in EP-A-0 008 127; inorganic phyllosilicates such as aluminum magnesium silicates, sodium magnesium phyllosilicates, and sodium magnesium fluorine lithium phyllosilicates of the montmorillonite type; silicas  
15 such as Aerosils; or synthetic polymers containing ionic and/or associative groups, such as polyvinyl alcohol, poly(meth)acrylamide, poly(meth)acrylic acid, polyvinylpyrrolidone, styrene-maleic anhydride or ethylene maleic anhydride copolymers and their  
20 derivatives, or hydrophobically modified ethoxylated urethanes or polyacrylates. Preferred rheology control additives used are polyurethanes.

The component (I) may further comprise at least one  
25 additional customary coatings additive (E). Examples of such additives are defoamers, dispersing auxiliaries, emulsifiers, and leveling agents.

Of course, said additives (E) may also be added separately to the coating composition. In this case the additives (E) are then referred to as component (V).

5 To prepare the coating compositions of the invention it is preferred to use components (I) which consist of

- 10 - from 20 to 90% by weight, preferably from 35 to 80% by weight, of the binder (A), especially the polymeric or oligomeric resins (A1), (A2), (A3), and/or (A4),
- 15 - from 0 to 60% by weight of at least one pigment and/or filler (B),
- from 0 to 50% by weight, preferably from 10 to 40% by weight, of at least one organic, optionally water-dilutable solvent and/or reactive diluent (C),
- 20 - from 0 to 20% by weight, preferably from 0.1 to 10% by weight, of at least one neutralizing agent (D), and
- 25 - from 0 to 20% by weight, preferably from 2 to 10% by weight, of at least one customary auxiliary and/or additive (coatings additive) (E),

the sum of the weight fractions of all the constituents being in each case 100% by weight.

The further key constituent of the coating composition  
5 of the invention is at least one crosslinking agent (F), which is present in component (II).

The crosslinking agents (F) comprise at least one  
diisocyanate and/or polyisocyanate (F) which if desired  
10 is dispersed or dissolved in one or more organic, optionally water-dilutable solvents.

The polyisocyanate component (F) comprises organic polyisocyanates, especially those known as paint  
15 polyisocyanates, containing free isocyanate groups attached to aliphatic, cycloaliphatic, araliphatic and/or aromatic moieties. Preference is given to using polyisocyanates containing from 2 to 5 isocyanate groups per molecule and having viscosities of from 100  
20 to 10,000, preferably from 100 to 5000, and, where manual mixing of the components (I), (II) and (III) is envisaged - in particular from 5000 to 2000 mPas (at 23°C). If desired, small amounts of organic solvent (G) may be added to the polyisocyanates, preferably from 1  
25 to 25% by weight based on straight polyisocyanate, in order thus to improve the ease of incorporation of the isocyanate and, where appropriate, to lower the viscosity of the polyisocyanate to a level within the aforementioned ranges. Examples of suitable solvent

additives for (G) the polyisocyanates are ethoxyethyl propionate, amyl methyl ketone, and butyl acetate. Furthermore, the polyisocyanates may have been conventionally hydrophilically or hydrophobically  
5 modified.

Examples of suitable isocyanates are described by way of example in "Methoden der organischen Chemie", Houben-Weyl, Volume 14/2, 4th Edition, Georg Thieme  
10 Verlag, Stuttgart 1963, pages 61 to 70, and by W. Siefken, Liebigs Annalen der Chemie, Volume 562, pages 75 to 136. Suitable examples include the isocyanates specified in the description of the polyurethane resins (A3), and/or isocyanato-containing  
15 polyurethane prepolymers which may be prepared by reacting polyols with an excess of polyisocyanates and which are preferably of low viscosity.

Further examples of suitable polyisocyanates are  
20 isocyanato-containing polyurethane prepolymers which can be prepared by reacting polyols with an excess of polyisocyanates and are preferably of low viscosity. It is also possible to use polyisocyanates containing isocyanurate, biuret, allophanate, iminooxadiazindione,  
25 urethane, urea and/or uretdione groups. Polyisocyanates containing urethane groups, for example, are obtained by reacting some of the isocyanate groups with polyols, such as trimethylolpropane and glycerol, for example. It is preferred to use aliphatic or cycloaliphatic

polyisocyanates, especially hexamethylene diisocyanate, dimerized and trimerized hexamethylene diisocyanate, isophorone diisocyanate, 2-isocyanatopropylcyclohexyl isocyanate, dicyclohexylmethane 2,4'-diisocyanate, 5 dicyclohexylmethane 4,4'-diisocyanate or 1,3-bis-(isocyanatomethyl)cyclohexane, diisocyanates derived from dimer fatty acids, as sold under the commercial designation DDI 1410 by Henkel, 1,8-diisocyanato-4-isocyanatomethyloctane, 1,7-diisocyanato-4-isocyanato-10 methylheptane or 1-isocyanato-2-(3-isocyanatopropyl)-cyclohexane, or mixtures of these polyisocyanates.

Very particular preference is given to using mixtures of polyisocyanates containing uretdione and/or 15 isocyanurate and/or allophanate groups and based on hexamethylene diisocyanate, as formed by catalytic oligomerization of hexamethylene diisocyanate using appropriate catalysts. The polyisocyanate constituent may further comprise any desired mixtures of the free 20 polyisocyanates exemplified.

The coating composition of the invention may further comprise isocyanato-free crosslinking agents (F'). Depending on their reactivity, these may be present in 25 components (I), (II) and/or (III); the critical factor is that the crosslinking agents (F') do not adversely affect the storage stability of the component in question, such as by premature crosslinking. The skilled worker will therefore be able to select the

appropriate combinations of crosslinking agents (F') on the one hand and components (I), (II) and/or (III) on the other in a simple manner.

- 5 Examples of suitable crosslinking agents (F') are blocked diisocyanates and/or polyisocyanates based on the aforementioned diisocyanates and/or polyisocyanates (F). Examples of suitable blocking agents are aliphatic, cycloaliphatic or araliphatic monoalcohols  
10 such as methyl, butyl, octyl or lauryl alcohol, cyclohexanol or phenylcarbinol; hydroxylamines such as ethanolamine; oximes such as methyl ethyl ketone oxime, acetone oxime or cyclohexanone oxime; amines such as dibutylamine or diisopropylamine; CH-acidic compounds  
15 such as malonic diesters or ethyl acetoacetate; heterocycles such as dimethylpyrazole; and/or lactams such as epsilon-caprolactam. These crosslinking agents (F') may be present in components (I), (II) and/or (III).

20

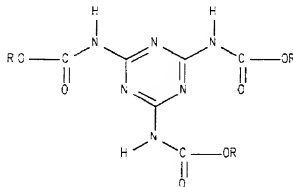
Further examples of suitable crosslinking agents (F') are polyepoxides (F'), especially all known aliphatic and/or cycloaliphatic and/or aromatic polyepoxides, based for example on bisphenol A or bisphenol F.

- 25 Examples of suitable polyepoxides (F') also include the polyepoxides available commercially under the designations Epikote® from Shell, Denacol® from Nagase Chemicals Ltd., Japan, such as Denacol EX-411 (pentaerythritol polyglycidyl ether), Denacol EX-321



(trimethylolpropane polyglycidyl ether), Denacol EX-512 (polyglycerol polyglycidyl ether), and Denacol EX-521 (polyglycerol polyglycidyl ether). These crosslinking agents (F') may be present in components (I) and/or (III).

As crosslinking agents (F') it is also possible to use tris(alkoxycarbonylamino)triazines of the formula



10

These crosslinking agents (F') may be present in components (I) and/or (III).

15 Examples of suitable tris(alkoxycarbonylamino)triazines (F') are described in the patents US-A-4,939,213, US-A-5,084,541, and EP-A-0 624 577. The tris(methoxy-, tris(butoxy- and/or tris(2-ethylhexoxycarbonylamino)-triazines are used in particular.

20

The methyl butyl mixed esters, the butyl 2-ethylhexyl mixed esters, and the butyl esters are of advantage. They have the advantage over the straight methyl ester

of better solubility in polymer melts, and also have less of a tendency to crystallize out.

In particular it is possible to use amino resins, examples being melamine resins, as crosslinking agents (F'). In this context it is possible to use any amino resin suitable for transparent topcoat materials or clearcoat materials, or a mixture of such amino resins. Particularly suitable are the customary and known amino resins some of whose methylol and/or methoxymethyl groups have been defunctionalized by means of carbamate or allophanate groups. Crosslinking agents of this type are described in the patents US-A-4 710 542 and EP-B-0 245 700 and also in the article by B. Singh and coworkers, "Carbamylmethylated Melamines, Novel Crosslinkers for the Coatings Industry" in Advanced Organic Coatings Science and Technology Series, 1991, Volume 13, pages 193 to 207. These crosslinking agents (F') may be present in components (I) and/or (III).

20

Further examples of suitable crosslinking agents (F') are beta-hydroxyalkylamides such as N,N,N',N'-tetrakis-(2-hydroxyethyl)adipamide or N,N,N',N'-tetrakis(2-hydroxypropyl)adipamide. These crosslinking agents (F') may be present in components (I) and/or (III).

25

Further examples of suitable crosslinking agents (F') are siloxanes, especially siloxanes containing at least one trialkoxy- or dialkoxysilane group. These

crosslinking agents (F') may be present in components (I), (II) and/or (III).

5 The polyisocyanates (F) are used advantageously in an amount of at least 70% by weight, with particular preference in an amount of 80 to 100% by weight, based on the overall weight of the crosslinking agents (F) and (F') in the coating composition of the invention.

10 The constituents (G) and (H) of component (II) correspond to the above-described constituents (C) and (E) of component (I), except that here constituents are used which do not react with isocyanate groups.

15 To prepare the coating compositions of the invention it is preferred to use components (II) which consist of

(F) from 50 to 100% by weight, preferably from 60 to 90% by weight, of at least one crosslinking agent,

20

(G) from 0 to 50% by weight, preferably from 10 to 40% by weight, of at least one organic, optionally water-dilutable solvent, and

25 (H) from 0 to 20% by weight, preferably from 0 to 10% by weight, of at least one customary auxiliary and/or (coatings) additive,

the sum of the weight fractions of components (F) to (H) being in each case 100% by weight.

The further key constituent of the coating composition  
5 of the invention is component (III).

In accordance with the invention, this component (III)  
consists of or comprises water. It is of advantage in  
accordance with the invention if the component (III)  
10 includes further suitable constituents in addition to  
water. It is substantially free of acrylate copolymers  
(A) dispersed or dissolved in it.

Examples of suitable constituents are the binders (A)  
15 described in detail above, especially the binders (A)  
containing

(i) functional groups which can be converted into  
cations by neutralizing agents and/or quaternizing  
20 agents, and/or cationic groups,

or

(ii) functional groups which can be converted into  
25 anions by neutralizing agents, and/or anionic  
groups,

and/or

(iii) nonionic hydrophilic groups,

with the exception of acrylate copolymers (A).

5 Of these binders (A), the binders (A2) and/or (A3) and, where appropriate, (A4) dispersed or dissolved in water are particularly advantageous and therefore used with particular preference.

10 Where component (I) includes binders (A) which are not, or not to any great extent, soluble or dispersible in water, it is advisable to use in particular the binders (A2) and/or (A3) that are dispersed or dissolved in water.

15 Alternatively, the binders (A) may be in the form of a powder slurry. In this case flame retardants (F') may also be present in the powder slurry particles. Powder slurries are customary and known and are described, for  
20 example, in the patents EP-A-0 652 264, US-A-4,268,542, DE-A-196 13 547, and DE-A-195 18 392.

The component (III) may further comprise at least one of the above-described reactive diluents.

25

For preparing the coating compositions of the invention it is very particularly preferred to use components (III) which consist of

(J) from 40 to 90% by weight, preferably from 50 to 85% by weight, of water,

5 (K) from 5 to 50% by weight, preferably from 10 to 45% by weight, of the binder (A), especially the polymeric or oligomeric resins (A2) and/or (A3) and, where appropriate (A4), in a form dissolved or dispersed in water,

10 (L) from 0 to 20% by weight, preferably from 2 to 10% by weight, of at least one neutralizing agent, and

(M) from 0 to 20% by weight, preferably from 2 to 10% by weight, of at least one customary auxiliary  
15 and/or (coatings) additive,

the sum of the weight fractions of components (J) to (M) being in each case 100% by weight.

20 The constituents (L) and (M) of component (III) correspond to the constituents (D) and (E) of component (I), described above.

The component (III), consisting of an aqueous  
25 dispersion of the binders (A) and particularly of the binders (A2) and/or (A3) and, where appropriate, (A4), may on the one hand be prepared by preparing the binders (A) in organic solvents, then neutralizing the acid groups, especially carboxyl groups, with the

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neutralizing agent (L) and, finally, introducing the neutralized constituents into deionized water, or on the other hand may be prepared by emulsion polymerization of the monomeric building blocks of the binders (A) in water.

Preferably, the components (A2) and/or (A3) and, where appropriate, (A4) are first prepared in organic solvents, then neutralized and, finally, dispersed in water in neutralized form.

Examples of suitable neutralizing agents (L) are the ammonia, ammonium salts and amines (constituent (D) of component (I)) already described in connection with the preparation of component (I), it being possible for the neutralization to take place in organic phase or in aqueous phase. The total amount of neutralizing agent (L) used to neutralize the binders (A) is chosen so that from 1 to 100 equivalents, preferably from 50 to 90 equivalents, of the acid groups of the binders (A) are neutralized.

Furthermore, the coating composition of the invention may, based on its overall amount, contain up to 40% by weight of constituents (N) which are curable with actinic light, especially UV radiation, and/or electron beams. These constituents may be present in component (I), (II) and/or (III), in particular in component (I). This has the advantage that the coating compositions of

the invention are thermally curable and/or radiation-curable.

Suitable constituents (N) include in principle all low  
5 molecular mass, oligomeric, and polymeric compounds  
which are curable with actinic light and/or electron  
beams, such compounds being those as are commonly used  
in the field of UV-curable or electron-beam-curable  
coating compositions. These radiation-curable coating  
10 compositions normally include at least one, preferably  
two or more, radiation-curable binders, based in  
particular on ethylenically unsaturated prepolymers  
and/or ethylenically unsaturated oligomers, optionally  
one or more reactive diluents, and optionally one or  
15 more photoinitiators.

It is advantageous to use the radiation-curable binders  
as constituents (N). Examples of suitable radiation-  
curable binders (N) are (meth)acryloyl-functional  
20 (meth)acrylic copolymers, polyether acrylates,  
polyester acrylates, unsaturated polyesters, epoxy  
acrylates, urethane acrylates, amino acrylates,  
melamine acrylates, silicone acrylates, and the  
corresponding methacrylates. It is preferred to use  
25 binders (N) which are free from aromatic structural  
units. Preference is therefore given to using urethane  
(meth)acrylates and/or polyester (meth)acrylates, with  
particular preference aliphatic urethane acrylates.



To prepare the coating compositions, components (I), (II), (III) and (IV) are used preferably in amounts such that the equivalents ratio of isocyanate-reactive groups of the binders (A) and of the reactive diluents to the crosslinking groups of the crosslinking agent (F) and also, where appropriate, (F') is situated between 1:2 and 2:1, preferably between 1:1.2 and 1:1.5.

Furthermore, the coating compositions of the invention preferably comprise in total

- from 15 to 60% by weight, preferably from 20 to 50% by weight, of binders (A),
- from 5 to 30% by weight, preferably from 10 to 20% by weight, of crosslinking agents (F),
- from 5 to 25% by weight, preferably from 10 to 20% by weight, of organic solvents (C),
- from 25 to 60% by weight, preferably from 30 to 50% by weight, of water,
- from 0 to 50% by weight, preferably from 0 to 30% by weight, of pigments and/or fillers (B),
- from 0 to 10% by weight of customary coatings additives (E), and

- from 0 to 40% by weight, preferably from 0 to 30% by weight, of constituents (N) curable with actinic light, especially UV radiation, and/or  
5 electron beams,

based in each case on the overall weight of the coating composition of the invention.

- 10 The preparation of component (I) takes place in accordance with methods known to the skilled worker by mixing and, where appropriate, dispersing of the individual constituents. For example, color pigments (B) are normally incorporated by grinding (dispersing)  
15 the respective pigments in one or more binders. The dispersing of the pigments takes place with the aid of customary apparatus, such as bead mills and sand mills, for example.
- 20 Components (II) and (III) and, where appropriate, (V) are likewise prepared in accordance with methods well known to the skilled worker, by mixing and/or dispersing the individual constituents.
- 25 The coating compositions of the invention are prepared in particular by the following mixing method from components (I), (II), (III) and (IV):

In a first process step, at least one component (I) is mixed with at least one component (II) to give the mixture (I/II). In a second process step, at least one component (III) is mixed with at least one component (IV) to give the mixture (III/IV). In a third process step, either the mixture (I/II) is dispersed and/or dissolved in the mixture (III/IV) or the mixture (III/IV) is dispersed and/or dissolved in the mixture (I/II).

In this process, the neutralizing agent (L) may already be present in components (I), (III) and/or (IV), or may be added to the mixtures (I/II) and/or (III/IV) or to the coating composition (I/II/III/IV) of the invention.

If binders (A) containing exclusively nonionic hydrophilic groups (iii) are used, the use of the neutralizing agents (L) is omitted.

The coating compositions of the invention may be applied to any desired substrates, such as metal, wood, plastic, glass or paper, for example, by customary application methods, such as spraying, knife coating, brushing, flow coating, dipping or rolling, for example.

When used in automotive refinish, the coating compositions of the invention are normally cured at temperatures below 120°C, preferably at temperatures of

not more than 80°C. When they are used in automotive OEM finishing it is also possible to employ higher curing temperatures.

- 5 The coating compositions of the invention are preferably used to produce topcoats. The coating compositions of the invention may be used both in the OEM finishing and in the refinish of automobile bodies. However, they are preferably used in the area of
- 10 refinish and the finishing of plastics parts.

- The aqueous coating compositions of the invention may be used as primer-surfacers and also to produce single-coat topcoats, and also as pigmented basecoat materials
- 15 or, in particular, as clearcoat materials in a process for producing a multicoat system (basecoat/clearcoat process).

### **Examples**

#### **20 Preparation example 1**

##### **The preparation of a polyacrylate resin (A1)**

- 25 25 kg of ethoxyethyl propionate (EEP) were weighed into a 100 kilogram steel reactor suitable for polymerization and equipped with monomer feed, initiator feed, temperature measurement means, oil heating and reflux condenser, and were heated to 130°C. A mixture of 7.13 kg of butyl methacrylate, 5.72 kg of methyl methacrylate, 5.96 kg of styrene, 3.16 kg of

lauryl methacrylate and 6.76 kg of hydroxyethyl acrylate was metered in at a uniform rate with stirring over the course of four hours. The initiator feed was started five minutes before this feed. The initiator  
5 solution (2.74 kg of tert-butyl peroxyethylhexanoate in 4.48 kg of EEP) was metered in at a uniform rate over 4.5 hours. After 2.5 hours of the metering time of the first monomer feed, the second monomer feed was started. It consisted of 2.8 kg of hydroxyethyl  
10 acrylate, 1.36 kg of acrylic acid and 0.68 kg of EEP and was metered in at a uniform rate over 1.5 hours.

This gave the polyacrylate resin (A1) having a solids content of 79.2% (one hour; 130°C), an acid number of  
15 31.1 mg KOH/g and a viscosity of 4.4 dPas (55% in EEP).

#### **Preparation example 2**

##### **The preparation of a polyester resin precursor**

20 A 4 liter steel reactor suitable for polycondensation reactions was charged with 1088 g of neopentyl glycol hydroxypivalate, 120 g of phthalic anhydride, 1268 g of isophthalic acid, 21 g of butylethylpropanediol, 489 g of neopentyl glycol and 113 g of xylene. This initial  
25 charge was then heated and the water of condensation was removed continuously until an acid number of 3.5 mg KOH/g was reached. Thereafter a solids content of 79.7% was set using EEP. The acid number of the resulting

polyester resin (A2) was 4.4 mg KOH/g, its viscosity 3.6 dPas (60% in EEP).

### **Preparation example 3**

- 5   **The preparation of a water-dispersed polyurethane resin (A3) for use in accordance with the invention**

A 4 liter steel reactor suitable for polyurethane resin synthesis was charged with 749 g of the polyester resin precursor from preparation example 2, 6.6 g of ethylbutylpropanediol, 69 g of dimethylolpropionic acid and 318 g of m-tetramethylxylylene diisocyanate and this initial charge was left to react at a product temperature of 110°C until a constant isocyanate content was reached. Then 101 g of trimethylolpropane were added in one portion and heating was continued until the reaction was ended. Subsequently 31.5 g of EEP were added. After stirring for 30 minutes, the product was neutralized with 36.7 g of dimethylethanolamine. The resultant polyurethane resin (A3) was dispersed at from 90 to 110°C in 1929.2 g of water whose temperature was 60°C. The resultant dispersion was free from gel particles, was homogeneous, and had a solids content of 36.1%, an acid number of 30.3 mg KOH/g, and a pH of 7.1. The dispersions were stable on storage at 40°C for longer than four weeks.

### **Example 1**

## **Preparation of an inventive coating composition**

### **1.1 The preparation of component (I)**

Component (I) was prepared by mixing the following  
5 constituents with one another using a stirrer  
(600 rpm):

14 parts by weight of the polyacrylate resin (A1) from  
preparation example 1,

10 3.6 parts by weight of butyl glycol acetate,

3.0 parts by weight of butyl glycol,

15 1.0 part by weight of a commercial wetting agent  
(Tensid S from Biesterfeld),

0.2 part by weight of a leveling agent based on a  
polyether-modified dimethylsiloxane copolymer (Byk<sup>R</sup> 331  
20 from Byk Gulden), and

0.6 part by weight of a fluorine-containing leveling  
agent (Fluorad<sup>R</sup> FC 430, 10% in butyl glycol acetate,  
from 3 M).

25

### **1.2 The preparation of component (II)**

Component (II) was prepared by mixing 2.9 parts by  
weight of Desmodur<sup>R</sup> VPLS 2102 (polyisocyanate of the

hexamethylene diisocyanate allophanate type having an isocyanate content of 20% and a viscosity of less than 400 mPas; from Bayer), 10.7 parts by weight of Tolonate HDTLV (polyisocyanate of the hexamethylene diisocyanate isocyanurate type having an isocyanate content of 22.5% and a viscosity of less than 2000 mPas; from Rhone-Poulenc) and 1.6 parts by weight of ethoxyethyl propionate with one another.

### 10    **1.3 The preparation of component (III)**

Component (III) was prepared by mixing 34.5 parts by weight of deionized water, 0.45 part by weight of dimethylethanolamine, 1.9 parts by weight of a commercial defoamer (Dapra1<sup>R</sup> T210; from Akzo) and 17.5 parts by weight of the polyurethane resin dispersion (A3) from preparation example 3 with one another.

### 20    **1.4 The preparation of component (IV) for inventive use**

The polyacrylate resin (A1) was prepared in a 4-liter steel reactor equipped with stirrer, reflux condenser, 2 monomer feeds and one initiator feed. 385 g of n-butanol were introduced as initial charge and heated to 110°C. Over the course of five hours, a mixture of 255 g of butyl methacrylate, 197 g of methyl methacrylate, 181 g of styrene, 113 g of Methacrylester 13 (alkyl methacrylate from Rohm & Haas) and 215 g of



hydroxyethyl acrylate was metered in. After 3.5 hours of the first monomer feed, a second monomer feed consisting of 113 g of hydroxyethyl methacrylate and 58 g of acrylic acid was started and was metered in at  
5 a uniform rate over the course of 1.5 hours. Subsequently, polymerization was continued for two hours. Following neutralization with 63 g of dimethylethanolamine, the product was stirred for a further 30 minutes. The resulting neutralized  
10 polyacrylate resin (A1-2) was dispersed in 1338 g of deionized water. The organic solvent was distilled off under reduced pressure to a residual content <1.5%. After the solids content had been adjusted to 39.9% using deionized water, the resulting dispersion was  
15 characterized. Its pH was 7.2, its acid number 41.4 mg KOH/g. It exhibited pseudoplasticity.

When handled carefully and properly, or under test conditions, the dispersion was stable on storage at  
20 40°C for longer than four weeks; under operating conditions and/or in transit, however, there were frequent instances of infestation by microorganisms, so making the dispersion unusable.

25 Using a disk atomizing dryer, therefore, the dispersion was converted into a dry, finely divided solid polyacrylate (A1) whose glass transition temperature was +52°C. The finely divided solid polyacrylate (A1) was of virtually unlimited storability, without any

infestation by microorganisms. Even after months of storage, it could be used without restriction for the preparation of inventive coating compositions.

5    **1.5 The preparation of the inventive clearcoat material**

10    The inventive clearcoat material was prepared in a first process step by mixing the above-described components (I) and (II) with one another, with stirring, with component (II) being stirred into component (I). This gave the mixture (I/II).

15    In a second process step, component (IV) was dissolved or dispersed in component (III), to give the mixture (III/IV).

20    In a third process step, the mixture (I/II) was added with stirring to the mixture (III/IV), thereby giving the inventive clearcoat material.

For application, the inventive clearcoat material was adjusted to a viscosity of 35 s (DIN 4 cup) by adding water.

25

**1.6 The production of inventive coatings and test panels**

Steel panels which had been coated conventionally with an electrodeposition coating material and a primer-surfacer were coated with a black basecoat material in a thickness of from 12 to 15  $\mu\text{m}$ . The basecoat was dried at 80°C for ten minutes. Subsequently the inventive clearcoat material was applied at different film thicknesses.

Thereafter, the steel panels were dried at room temperature for 15 minutes and at 60°C for 10 minutes and then baked at 140°C.

The leveling of the clearcoat material was outstanding, as was the overall appearance.

The popping limit was about 60  $\mu\text{m}$ ; only a few fine pinholes occurred.

The gloss at 20° in accordance with DIN 67530 was found to be 87.

The gray haze was measured using the Microgloss Haze hazemeter from Byk-Gardner; the figure was below 20.

The gasoline resistance was tested as follows: the coated test panels were dried in air at 23°C for 24 hours. Then filter pads with a diameter of 2.3 cm were placed on the test panels. Using a pipette, 0.75 ml of super-grade gasoline (not older than four weeks) was

trickled onto the filter pads, followed immediately by the application of 100 g weights. After five minutes, the weights and the filter pads were removed. The excess gasoline was removed and the exposure sites were

5 immediately examined for marks. There were no marks to be seen.

**What is claimed is:**

1. A coating composition consisting of at least four components, comprising
  - (I) a component comprising at least one oligomeric or polymeric resin containing functional groups which react with isocyanate groups, as binder (A),
  - (II) a component comprising at least one polyisocyanate as crosslinking agent (F),
  - (III) a component which comprises water and is substantially free from acrylate copolymers (A) dispersed or dissolved therein, and
  - (IV) a finely divided solid component which comprises at least one water-soluble or -dispersible finely divided solid acrylate copolymer (A).
2. A process for producing a coating from a coating composition consisting of at least four components by mixing of the components, application of the resulting coating composition to the surface that

is to be coated, and curing of the resulting wet film, which comprises

- 5           1)    mixing at least one component (I) comprising  
              at least one oligomeric or polymeric resin  
              containing functional groups which react with  
              isocyanate groups, as binder (A), with at  
              least one component (II) comprising at least  
10           one polyisocyanate as crosslinking agent (F),  
              to give the mixture (I/II);
- 2)    mixing at least one component (III) which  
                  comprises water and is substantially free  
                  from acrylate copolymers (A) dissolved or  
15           dispersed therein with at least one finely  
              divided solid component (IV) which comprises  
              at least one water-soluble or -dispersible,  
              finely divided solid acrylate copolymer (A),  
              to give the mixture (III/IV); and then either  
20           3)    dispersing and/or dissolving the mixture  
                  (I/II) in the mixture (III/IV) or
- 4)    dispersing and/or dissolving the mixture  
25           (III/IV) in the mixture (I/II), to give
- 5)    the coating composition (I/II/III/IV).

3. The coating composition as claimed in claim 1 or the process as claimed in claim 2, wherein the finely divided solid component (IV) is preparable by spray-drying or freeze-drying of solutions,  
5 emulsions or dispersions of the acrylate copolymers (A) or precipitation of acrylate copolymers (A) from their solution, dispersion or emulsion, by emulsion polymerization or precipitation polymerization of the acrylate copolymers (A) or by grinding of the acrylate copolymers (A).  
10
4. The coating composition as claimed in claim 1 or 3 or the process as claimed in claim 2 or 3, wherein  
15 the functional groups which react with isocyanate groups comprise hydroxyl groups.
5. The coating composition as claimed in any of claims 1, 3 and 4 or the process as claimed in any  
20 of claims 2 to 4, wherein component (III) comprises at least one binder (A).
6. The coating composition as claimed in any of claims 1 and 3 to 5 or the process as claimed in  
25 any of claims 2 to 5, wherein component (I) comprises at least one water-soluble or -dispersible binder (A) and/or component (III) comprises at least one water-dissolved or water-dispersed binder (A).

7. The coating composition or the process as claimed in claim 6, wherein the binders (A) comprise alternatively

5

(i) functional groups which can be converted into cations by neutralizing agents and/or quaternizing agents, and/or cationic groups, especially sulfonium groups,

10

or

(ii) functional groups which can be converted into anions by neutralizing agents, and/or anionic groups, especially carboxylic acid and/or carboxylate groups,

15

and/or

(iii) nonionic hydrophilic groups, especially poly(alkylene ether) groups.

20

8. The coating composition or the process as claimed in claim 7, wherein the binders (A) contain carboxylic acid and/or carboxylate groups (ii).

- 25 9. The coating composition or the process as claimed in claim 8, wherein component (I) comprises as binders (A)



(A1) at least one acrylate copolymer (A1) which is dispersible or soluble in one or more organic, optionally water-dilutable solvents, contains hydroxyl groups and carboxylic acid and/or carboxylate groups, and has a number average molecular weight Mn of between 1000 and 30,000 daltons, an OH number of from 40 to 200 mg KOH/g, and an acid number of from 5 to 150 mg KOH/g, and/or

(A2) at least one polyester resin (A2) which is dispersible or soluble in one or more organic, optionally water-dilutable solvents, contains hydroxyl groups and carboxylic acid and/or carboxylate groups, and has a number average molecular weight Mn of between 1000 and 30,000 daltons, an OH number of from 30 to 250 mg KOH/g, and an acid number of from 5 to 150 mg KOH/g, and/or

(A3) at least one polyurethane resin (A3) which is dispersible or soluble in one or more organic, optionally water-dilutable solvents, contains hydroxyl groups and carboxylic acid and/or carboxylate groups, and has a number average molecular weight Mn of between 1000 and 30,000 daltons, an OH number of from 20 to 200 mg KOH/g, and an acid number of from 5 to 150 mg KOH/g;

component (III) comprises as binders (A) the polyester resins (A2) and/or polyurethane resins (A3), and component (IV) comprises as binder (A) the acrylate copolymer (A1).

10. The coating composition as claimed in any of claims 1 and 3 to 9 or the process as claimed in any of claims 2 to 10, wherein some of the binders (A) in component (III) are in powder slurry particles.
11. The use of the coating composition as claimed in any of claims 1 and 3 to 10 or of the process as claimed in any of claims 2 to 10 in automotive OEM finishing, refinish, especially automotive refinish, coating of plastics, as topcoat materials and/or primer-surfacers.
12. An automotive OEM finish or automotive refinish, coating on plastic, topcoat, or primer-surfacer coat, producible from a coating composition as claimed in any of claims 1 and 3 to 11 and/or with the aid of the process as claimed in any of claims 2 to 11.
13. An article, especially automobile, comprising an automotive OEM finish or automotive refinish,

coating on plastic, topcoat and/or primer-surfacer  
coat as claimed in claim 12.

**Coating composition consisting of at least four components, its preparation and use**

**Abstract**

A coating composition consisting of at least four components, comprising a component (I) comprising at least one oligomeric or polymeric resin containing functional groups which react with isocyanate groups, as binder (A), a component (II) comprising at least one polyisocyanate as crosslinking agent (F), a component (III) which comprises water and is substantially free from acrylate copolymers (A) dispersed or dissolved therein, and a finely divided solid component (IV) which comprises at least one water-soluble or -dispersible finely divided solid acrylate copolymer (A); and also a process for producing a coating from a coating composition consisting of at least four components, which involves (1) mixing at least one component (I) with at least one component (II), to give the mixture (I/II); (2) mixing at least one component (III) with at least one finely divided solid component (IV), to give the mixture (III/IV); and then either (3) dispersing and/or dissolving the mixture (I/II) in the mixture (III/IV) or (4) dispersing and/or dissolving the mixture (III/IV) in the mixture (I/II); applying the resulting mixture (I/II/III/IV) to the surface that is to be coated, and curing the wet film.

<b>DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63)</b>  <input type="checkbox"/> Declaration Submitted with initial Filing or <input checked="" type="checkbox"/> Declaration Submitted after initial Filing (surcharge (37 CFR 1.16 (e)) required)		Attorney Docket No.	IN-5505
		First Named Inventor	Bernd MAYER
		COMPLETE IF KNOWN	
		Application Number	09/889,647
		Filing Date	July 19, 2001
		Group Art Unit	
		Examiner Name	

As below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**COATING AGENT CONSISTING OF AT LEAST FOUR COMPONENTS, METHOD FOR PRODUCING SAME AND USE THEREOF**

(Title of the Invention)

The specification of which:

☐ is attached hereto☒ Was filed on **25 January 2000** as United States Application or PCT International Application Number **PCT/EP00/00534** and was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application

I hereby claim foreign priority benefits under 35, U.S.C. § 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate or 365 (a) of any PCT international application(s) designating at least one country other than the United States of America listed below and have also identified below, by checking the box, any foreign application(s) for patent or inventor's certificate, or any PCT international application(s) having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date DATE/MONTH/YEAR	Priority Not Claimed	Certified Copy Attached? Yes No
199 04 317.5	Germany	28 January 1999	<input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>

Additional foreign application number are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below:

APPLICATION NUMBER(S)	FILING DATE

☐ Additional provisional application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto

## DECLARATION —

Utility or Design Patent Application

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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Name OF SOLE OR FIRST INVENTOR:



A petition has been filed for this unsigned inventor

Given Name  
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or SurnameMAYERInventor's  
Signature*Bernd Mayer*

Date

29.10.01

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DECLARATION —	Utility or Design Patent Application
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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Name OF SECOND INVENTOR:				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
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Inventor's Signature <i>[Signature]</i>				Date <u>29 10.01</u>			
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